

Archives *in Libraries*

What Librarians and Archivists Need to Know to Work Together



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**SOCIETY OF
American
Archivists**

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Preface

Readers of a book that addresses the thorny issues of archives-library relationships should presume a certain amount of personal knowledge on the part of the authors. Together, the authors of this volume represent significant experience working in both public and academic libraries. One, currently the director of a large university archives, previously worked in small college archives. Another is the director of an academic archives education program, formerly directed a public library with a local history collection, and started an archives. The third author, now also an academic in archives education, spent the greater part of her career as an archivist and records manager in several university and college archives.

Our experiences provided the impetus for this book. As we advocated with our own directors for staff, space, and programming support, we often found ourselves in the position of having to explain what archivists do and why they do it. Despite the fact that archives are so often part of libraries, there appeared to be gaps in understanding that affected the ability of archives to succeed and for the archives and library to benefit from one another.

The gaps are on both sides. Many of the librarians we worked with did not understand archives. But we also found that many of our archival colleagues could not effectively explain their programs and their needs to librarians. Conversations with librarians and archivists reinforced a growing awareness that greater understanding would benefit both librarians and archivists.

These issues (communication and understanding) have gained increased urgency as the power of technology has changed user expectations and opened greater potential for shared and seamless access across libraries and archives. Even if professional practices remain separate, effective collaboration will result in greater service to researchers. It is a good time to address issues of mutual concern between librarians and archivists.

This book could not have been written without the involvement of our archives and library colleagues. We are particularly grateful to the anonymous library directors and archivists who agreed to be interviewed. These interviews reinforced our conviction that better understanding was crucial to the continued sustainability of both libraries and archives.

From our very first conversation proposing this book, the Society of American Archivists Publications Board has continually offered support. Our thanks to Peter Wosh, former chair of the Publications Board, with whom we initiated this project; to Chris Prom, the board's current chair,

whose meticulous editing has been invaluable; and to Teresa Brinati, SAA's director of publishing, whose encouragement has guided us through this process. A special thanks to Cheryl Oestreicher, who shepherded the manuscript through its first draft.

Simmons College has supported our efforts in a variety of ways. The Office of Sponsored Programs provided funding, and its assistant director, Valerie Beaudrault, guided us through the Institutional Review Board process to make sure our questionnaire and consent form complied with regulations. Financial support also came from the School of Library and Information Science through a grant from the Hollowell Foundation, which enabled us to fund graduate student assistants. Our thanks to the students who worked with us on the project: Molly Frazier Macke, Lorin Granger, and Patty Condon.

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JEANNETTE A. BASTIAN
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Boston, 2015

Introduction



VIGNETTE: AN ARCHIVES IN A LIBRARY

When a small northeastern university decided to celebrate its centennial, the university president asked the library director to gather information on the history of the school. The library director sent out a call for material, and the university community responded with enthusiasm. Alumni sent in scrapbooks, yearbooks, pennants, and other memorabilia; children of alumni sent in their parents' and grandparents' diaries and letters; university departments, seeing an opportunity to weed their filing cabinets of decades' worth of accumulations, sent in outdated records; the president's office sent annual reports; and retiring faculty asked if they could donate their personal papers to the library.

Faced with a rapidly expanding mountain of material that clearly had value to the university, the library director recognized the beginnings of a valuable archives. She promoted one of her staff—who had taken several archives courses in library school—to part-time archivist and designated two rooms in the library basement as the archives.

The centennial was a great success, but the sudden introduction of an archives unit into a well-established library organization created unanticipated consequences for users, administrators, and staff. The previously clear mission of the library—to provide open and equitable access to its patrons and curriculum support to its students—was suddenly complicated by the need to restrict certain materials and to provide closely supervised access to others. Unlike library collections, archives were noncirculating and the stacks were closed to the public. Even the online catalog did not offer easy accessibility to the archives collections and, often, no access at all.

The new archivist began voicing concerns that library security was insufficient to protect unique materials, that the lack of climate control in the basement put the materials in jeopardy, and that the old library shelving did not meet preservation standards. University administrators wanted more involvement in the disposition of their records; legal agreements were needed to accept donations; third-party privacy concerns meant that access to

some of the materials was in question. Records management issues were raised. While the library director felt that archival collections added depth and research strength to her library, she also began to realize that there was a disharmony between the needs and requirements of the archives and that of the library, for which neither she nor her staff had been prepared.



ARCHIVISTS AND LIBRARIANS: UNITY AND DIVERSITY

Most of us have grown up with libraries, but archives are often unfamiliar terrain. Increasingly, the unique materials in archives add personal interest as well as scholarly significance to library collections. In this digital age, digitized and born-digital unpublished records and manuscripts are often valued web offerings from the academic archives' holdings, while family diaries, scrapbooks, town maps, and ordinances capture interest in the public library's local history collections.¹ Now more than ever, librarians and archivists must figure out how to work together, and harmonize their divergent information paths. Doing so will add value to what in the 1990s used to be called the "information superhighway" and in the twenty-first century has increasingly become "information convergence," where information from a variety of sources and disciplines is combined through technology. Maintaining their individual values while integrating services, both physically and virtually, is the contemporary information challenge for both archivists and librarians.

Whether the archives is situated in a small college library with a special collection, in a public library with a local history room, in a corporate library collecting departmental reports and company patents, or in a large academic library housing university records and personal papers of faculty members as well as unique special collections, it is likely that a library director has ultimate responsibility for the archives.² Although welcoming the enrichment that an archives can bring to an information center, both the library director and the library staff could benefit from a deeper understanding of what an archives is or can be, what it does, and how it fits within the overall mission of the institution. The library director may be surprised to learn about the special preservation needs of an archives, may not realize that privacy issues often require legal advice, or may be unprepared to fund enhanced security and a monitored reference area. Above all, both the library director and staff will benefit from understanding how and why an archives is different from a library.

It is also likely that the archivist may not know how best to explain these differences to his or her library colleagues and may not even fully understand their scope and implications. While both archivists and librarians strive to cooperate in creating productive working relationships and information environments, they may be stymied by a host of issues, ranging from distinct professional vocabularies to conflicting core principles. But today, with ever-shrinking resources, ever-increasing information needs, and pressure to create seamless access, acknowledging differences and bridging the archives/library divide is essential. Librarians and archivists cannot afford *not* to work together effectively.

Without a doubt, archives and libraries do have many things in common, but even the commonalities can become sources of discord. Conflicting interpretations of similar terminology and mandates may lead to misunderstanding. Finding a common language and developing a unified vision in the archives/library equation may be equally as important as understanding how archival processing

differs from library cataloging or why archival materials do not circulate outside the reading room. Increasingly, as libraries and archives are merging—and possibly even converging—in virtual environments, the public perceives these institutions as having very similar societal missions and roles.

At the heart of the similarities and differences between libraries and archives are core values that, while shared, are not weighted equally. As cultural institutions, archives and libraries have many common overarching goals but follow very different paths to achieve them. Both libraries and archives place a premium on service, access, ethics, and the collection and preservation of materials. For archives, the unpublished nature of archival materials and the circumstances of their creation often dictate the boundaries and conditions of their use. On the other hand, for libraries, principles of service equity and patron confidentiality may dictate decisions.

For example, libraries and archives value access, but while libraries value it above all else, archives have competing responsibilities to their one-of-a-kind collections as well as to their institutions, donors, creators, and users. These responsibilities may impact access. Similarly, reference services are critical missions for both librarians and archivists, but reference processes may differ significantly. Archivists, needing to act as the gatekeepers to closed stacks, are involved in every nonvirtual reference transaction. In a library, open stacks and virtual catalogs enable transparency, with librarians often then serving as reference facilitators.

Reconciling differences between archivists and librarians has been a long-standing issue for the information professions in the United States. Previous attempts to address and harmonize differences and similarities resulted in two collections of essays: *Archive-Library Relations*, edited by Robert L. Clark Jr. in 1976, and *Archives and Library Administration: Divergent Traditions and Common Concerns*, edited by Lawrence J. McCrank in 1986.³ In his preface, McCrank observes, “perhaps in another decade, a third attempt should be made to bring into focus the relationship between archives and libraries, to continue the reflection begun in Clark’s *Archive -Library Relations* and carried forward in this volume. At present archives and libraries are developing along parallel lines, as indicated by the essays’ reminders of past divergence and possible future convergence. It would be interesting to know in ten years if this parallel course holds steady. . . .”⁴

McCrank and his colleagues envisioned an alignment between librarians and archivists that twenty years later is still a work in progress. While the current volume may not yet be able to demonstrate a “parallel course,” it does represent one more step in the effort to achieve harmony and empathy between these two similar and dissimilar professions. While libraries and archives have many differences (e.g., nature of the material, organization, acquisitions), they also share many similarities (e.g., primacy of access, reference, cultural institutions), and, most importantly, they hold common core beliefs around freedom of information, ethical imperatives, and the right to know and access information.

FRACTURED HISTORIES

The U.S. Library of Congress was established in 1800 and the U.S. National Archives was established in 1934. The American Library Association (ALA) opened its doors in 1876, and the Society of American Archivists (SAA) first convened in 1936. The library profession in the United States can trace its lineage back to the founding of the first library school at Columbia University in 1887, but archival education did not begin in earnest in the United States until the late twentieth century.

Widely different historical, professional, and educational trajectories have often made it difficult for the archives and library professions to meet.

In the rush toward the digital convergence of cultural heritage institutions, it is instructive to note that efforts to align libraries and archives have a surprisingly long and uneven history.⁵ The efficacy of joining these institutions in common cause was formally recognized as early as 1910 with the International Congress of Archivists and Librarians held in Brussels under the auspices of the Association of Belgian Archivists and Librarians. Significantly, it was at this Congress where the groundwork was laid for a number of library practices, and it was also where the Dewey Decimal Classification System was first accepted as an international bibliographic standard. Bibliographic control for archives, however, only resulted in an agreement for public archives to exchange inventories.⁶

Since 1910, there have been sporadic attempts to address the relationship between archives and libraries. ALA and SAA have formed joint committees at various points in their history. Writing in the 1950s, Theodore Schellenberg, who is considered the father of modern American archives, applauded the potential relationship between libraries and archives, actively urging archival education through library schools.⁷ In 1970, the executive committee of ALA approved a joint Committee on Archives, Libraries and Museums (CALM). Representatives of these three professions continue to meet to find ways of effecting closer cooperation among the organizations.⁸ In fostering the relationships between archives and libraries, the emphasis by both national professional associations has been on defining differences and similarities, surveying attitudes of librarians and archivists, and, most recently, making the case for overcoming differences in the cause of online collaboration.

ARCHIVES IN ACADEMIC AND PUBLIC LIBRARIES

Variations of the library/archives relationship exist in many different types of cultural heritage, government, and corporate institutions, but predominate in academic and some public libraries. While the major focus of this book is on institutional or college/university archives located in academic libraries, there are overlapping concerns with aspects of local history collections in public libraries. With that in mind, library-archives relationships in that venue are also discussed, albeit to a lesser extent. In both types of institutions—academic and public libraries—the service imperatives are high and the communities of users are wide and diverse. Achieving synergy between librarians and archivists is essential to the overall institutional mission.

The nature of archival records—defined by Richard Pearce-Moses as “materials created or received by a person, family, or organization, public or private, in the conduct of their affairs that are preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator”⁹—is such that they are omnipresent in a wide variety of institutions. Archival materials include both institutional and personal records. Any organization—government, corporate, or nonprofit—that creates records potentially has archives. Many institutions, such as historical societies or special collections in academic libraries, also collect a wide array of institutional and personal archives in areas of their subject interest.

The word *archives* is increasingly used generically within the profession, but there are important conceptual distinctions between institutional records and personal records or “papers.” In general, the word *archives* refers to institutional records, public or government records, or personal records/papers in any format that are permanently maintained in an archival organization or an archives unit

of a larger organization. An academic archives typically contains records in many formats. While rare, unique, or of special interest, these records are generally products of the institution itself. They may also include faculty papers, alumni collections, and other related noninstitutional records.

In addition to managing the records of their own institutions in the archives, many academic libraries also maintain “special collections.” While these special collections generally comprise rare books, artifacts, and visual materials, they too can include subject-oriented unpublished personal papers or organizational records from outside the academic institution itself. A special collection may contain rare or unique materials that have scholarly value for a particular group of researchers. They are typically purchased or acquired directly from donors who are not directly affiliated with the academic institution.

Special collections and college and university archives may overlap administratively, especially in small or young institutions. For example, the archivist in a small academic library may be responsible for both the institutional records and the special collections. Or the special collections librarian may have oversight responsibility for the institutional archives. Similarly, local history collections in public libraries may include a mix of town records, personal papers, and institutional material. Partnerships between librarians and archivists in both academic and public libraries are essential for both the protection and the use of these unique materials.

In 2010 the Association of College and Research Libraries (ACRL) Research Planning and Review Committee specifically identified special collections and academic archives as critical areas of patron demand and user growth, writing that “increasingly, libraries are acquiring local collections and unique materials and, when possible, digitizing them to provide immediate, full-text online access.”¹⁰ With more than thirty-five hundred academic libraries in the United States, and with more than nine thousand public libraries, there are potentially more archives or special collections units in one form or another in academic and public libraries than in any other institutions.¹¹ The need to build cooperative relationships between librarians and archivists is both real and acute.

THE PURPOSE OF THIS BOOK

Archives in Libraries: What Librarians and Archivists Need to Know to Work Together provides an overview of basic archival concepts, policies, and best practices for librarians and library directors, while also suggesting ways in which archivists working in libraries can describe their work and effectively advocate for archival needs. Along the way, it highlights and analyzes the differences and the similarities between libraries and archives with the goal of promoting understanding and cooperation between these two complementary professions. The overall aim is to narrow the divide and build shared understandings among archivists, librarians, and library directors while helping archivists working within libraries to better negotiate their relationships with the institution and with their library colleagues.

Different educational orientations as well as divergent historical roots suggest that librarians and archivists, while often working toward similar goals, do not necessarily share the same information practices or always speak the same professional language. Interviews with archivists who work in academic and public libraries and with the library directors who supervise them indicate that while relationships between the two are generally productive, archivists are concerned that librarians often “do not understand what we do,” particularly in areas such as processing or related records management

duties, and “do not understand what we need,” in areas such as security and space. For the library administrator and the archivist responsible for the collections, these differences have the potential to undermine the missions of both the library and the archives. As the vignette at the beginning of this chapter suggests, the ad hoc establishment of an archives or special collection in a library through the impetus of a centenary celebration, a donation of manuscripts, or even the haphazard amassing of historical records over a number of years is not an uncommon situation. Nor is the resulting dissonance as the archives attempts to integrate into the library environment while maintaining its core, and at times distinct, values.

While this dissonance may sometimes seem like a lack of mutual understanding, the authors suggest a more complex dynamic. Different theoretical frameworks, missions, standards, best practices, and expectations contribute to an environment where both librarians and archivists must work actively to understand their similarities and differences to create a beneficial and reciprocal working relationship. At the same time, both librarians and archivists should recognize that cooperation and collegiality are increasingly essential for institutional success. The unique collections in the archives add value to the library so that both the institution and the users can be well served.

In a time of efforts toward increasing online convergence among libraries, archives, and museums, the authors also believe that it is critical for each discipline to maintain its values, to adhere to its core principles, and to weave those principles into a workable whole.¹² Libraries and archives are different, not only in the materials they collect, care for, and provide access to, but also in the ways that they carry out these activities—and each brings particular values and qualities to their institutions and to the users. This book focuses on the ways in which both institutions can come together to provide seamless public access while retaining and expressing their respective core values.

Supported by the literature, interviews, and vignettes, *Archives in Libraries* focuses on perspectives that animate the relationship between archives and the libraries in which they are located. A critical secondary objective is to help archivists in library settings imagine ways to advocate fruitfully for their programs. While this book does address practical topics, such as how a library starts an archives and what archivists do, these are guides for discussion rather than prescriptions. Other important issues, such as ethics, donor relations, preservation, and basic terminology, which could be better understood between the two professions, are also discussed.

OUR APPROACH

This book is divided into three sections. In Part I, “Setting the Stage,” Chapter 1 considers missions, professional identities, and values. Chapter 2 explores the different definitions between the two disciplines in the areas of concepts (provenance), tasks (appraisal, processing, and acquisitions), and practice (“users” vs. “patrons,” access vs. reference) and charts the development of similar and different professional standards. Chapter 3 examines the diverging and converging educational trajectories of archivists and librarians.

Part II, “Considering the Work,” describes the functions and responsibilities of archivists working in library settings. Chapters 4 and 5 explain archival processes, workflow, tasks, and resources, from acquiring collections to providing access. These chapters also touch on donor relations and records management. Chapter 6 addresses the questions suggested by the opening vignette: Why and how does a library start an archives? What are the issues and concerns? What resources and

accommodations are needed? This chapter also discusses managing an archives once it has been established.

Part III, “Considering the Issues,” examines common concerns and specific areas of mutual sharing. Chapter 7 examines ethics, an area that is key to both librarians and archivists but where practices differ. While librarians focus on making all sources available and protecting the privacy of patrons, archivists balance the responsibility to provide ethical access while managing privacy issues relating to institutions, donors, collections, and users. Chapter 8 explores issues common to both professions—information literacy, digital access, and digital preservation. The final chapter, “Convergences and Divergences,” discusses efforts toward cooperation and collaboration between archives and libraries.

METHODOLOGY

Between 2011 and 2013, the authors conducted a series of e-mail, telephone, and face-to-face interviews with fifteen archivists and eight library directors. These interviews form the core data set of the research for this book and are the source for the majority of the quotations scattered throughout each chapter. Each forty- to sixty-minute personal interview was conducted using a different set of questions for the archivists than for the directors. All interview transcriptions were verified by the interviewees. The transcriptions were then coded and analyzed. The recordings have been destroyed following the instructions of the Institutional Review Board at Simmons College. The transcriptions have also been destroyed to protect the confidentiality of the interviewees.

Vignettes, which appear throughout the book and are loosely based on real-life experiences of the authors and the interviewees, supplement the text by providing targeted examples addressing current topics. Although literature on the archives/library relationship is relatively scarce compared to the substantial literature on libraries and archives separately, the authors drew valuable information from both early and recent studies of this issue as well as from the literature on the many aspects of the archives and library professions. This literature is reflected in the bibliography at the end of the book, which draws from a broad array of writings on many aspects of archives and libraries.

By explaining what archivists do, why they do it, and what they are trying to accomplish, and by placing these explanations within a context familiar to library directors, we hope that this book will promote cooperation and synergy between librarians and archivists. Identifying similarities and differences is useful in understanding gaps and areas of concern, but simply explaining archives to librarians might go a long way toward establishing productive work environments.

NOTES

- ¹ Note that throughout this book the term *academic archives* will be used to refer to institutional archives in academic institutions.
- ² The archival term *personal papers* is generic and refers to personally created materials in all formats, both analog and digital. *Personal papers* are beginning to be referred to as *personal archives* in some institutions.
- ³ Robert L. Clark Jr., ed., *Archive-Library Relations* (New York: R. R. Bowker Co., 1976), and Lawrence J. McCrank, ed., *Archives and Library Administration: Divergent Traditions and Common Concerns* (New York: Haworth Press, 1986).
- ⁴ McCrank, *Archives and Library Administration*, 13.
- ⁵ Efforts toward the digital convergence of libraries and archives have characterized the early twenty-first-century information environment, both through scholarship and application. Examples of scholarly articles include Gillian Oliver, "Transcending Silos, Developing Synergies: Libraries and Archives," *Information Research* 15, no. 4 (December 2010), <http://www.informationr.net/ir/15-4/colis716.html>; Wendy M. Duff et al., "From Coexistence to Convergence: Studying Partnerships and Collaboration Among Libraries, Archives and Museums," *Information Research* 18, no. 3 (2013): 4. Examples of applications are discussed in Chapter 9.
- ⁶ Clark, *Archive-Library Relations*, xi.
- ⁷ Theodore Schellenberg, "Archival Training in Library Schools," *American Archivist* 31 (April 1968): 155–165.
- ⁸ Collaborations between professional information associations are ongoing. One example is a recent joint task force, SAA-ACRL/RBMS Joint Task Forces on Standardized Holdings Counts and Statistical Measures for Public Services; for more information, see <http://www2.archivists.org/news/2014/call-for-volunteers-saa-acrlrbms-joint-task-forces-on-standardized-holdings-counts-and-sta>.
- ⁹ Richard Pearce-Moses, "archival records," *A Glossary of Archival and Records Terminology* (Chicago: Society of American Archivists, 2005), <http://www2.archivists.org/glossary/terms/a/archival-records>.
- ¹⁰ ACRL Research Planning and Review Committee, "2010 Top Ten Trends in Academic Libraries, a Review of the Current Literature," *College and Research Library News* 71, no. 6 (June 2010): 286.
- ¹¹ These estimates are taken from the American Library Association's ALA Fact Sheet 1, last updated April 2014, <http://www.ala.org/tools/libfactsheets/alalibraryfactsheet01>.
- ¹² *Convergence* refers to efforts by libraries, archives, and museums to collaborate in online environments by providing integrated access to their holdings across institutions.

Part I



Setting *the* Stage

Finding Common Ground: Mission, Professional Roots, Identity, and Values



VIGNETTE: MISSION

Durham College Library, established with the college in the early twentieth century, followed its mission, which was a commitment of service to students and faculty members by keeping current materials on its shelves and by staying up-to-date with the undergraduate curriculum. The library was rapidly running out of shelf space, however, even after accounting for the advent of online journal databases and e-books. At the same time, a host of new subjects were being planned for the curriculum over the next few years.

The library director decided on drastic action. Calling a staff meeting, she explained the space situation, asking her reference librarians to identify those areas of the collection that could be weeded. Over the years, the focus of the college had undergone major curriculum shifts. Founded as a technical school offering a two-year degree, it had become a four-year liberal arts institution in the 1950s and since then had acquired an enviable reputation for its focus on the performing arts. Its impressive collection of technical materials from that earlier curriculum not only included books but also original faculty research, annual reports of the engineering and geology departments, scrapbooks of student projects and activities, and even faculty syllabi. Surely it was time for those outdated technical collections on engineering and coal mining to go!

The archivist, however, had other ideas. While those outdated technical books might no longer fulfill the mission of the college library by being relevant to current students, the other materials—annual reports, scrapbooks, research notes and syllabi—were valuable institutional records that documented the history of the college during a crucial period of

its growth and that also directly addressed the institutional mission of the college archives. To fully appreciate the history of the school and to anticipate future reference questions about the earlier disciplines, it was important to have this evidence of its early curricula and development. Even the books helped tell this important story. The college owed much of its current status and prosperity to those early student engineers. There was also ongoing fundraising with descendants of the founders and early alumni.

The archivist requested the institutional records for the college archives and asked if she could also select a sample of the books before the collection was destroyed.



In 1986, Robert Warner, then dean of the School of Library and Information Science at the University of Michigan, wrote, “Librarians and archivists, historically dissimilar in their training, outlook, methodology, and philosophy, are today facing very similar problems and challenges.”¹ More than twenty-five years later, “similar problems and challenges” still face librarians and archivists. Their divergent histories, professional identities, and education continue to be factors in their ability to work together.

As Warner suggests, promoting understanding and common ground between archivists and librarians begins with the fundamentals: how archivists and librarians understand their own professions and professional identities; how those identities are expressed through the sense of mission within their professions and their institutions; and how they are promoted through education. Mission statements, in particular, are often tangible barometers of professional culture as well as indicators of the education and training that supports that culture. Thus, this chapter begins with the missions of archivists and librarians as expressed in formal mission statements and then moves backward to find out how they got there.

MISSION AS THE PROFESSIONAL DRIVER

A Library Director Talks About the Archives Mission

*The mission of the archives is to preserve our college's history and it fits into our library . . . as **an external nugget**. Because we are primarily an undergraduate library for student research, we don't have the preservation mission that many larger research level libraries have. And our archives therefore always take a backseat to collections and efforts for traditional undergraduate research. That said, we're fortunate to have a special collections librarian on our staff right now who is very interested in the archives and making an archival mission more central.*

— Director, Academic Library

Fueled by professional passion, a strong sense of mission unites and divides archivists and librarians. Writ large, the overall mission of the parent institution predominates, both mandating and guiding the direction of the library and the archives. But writ small, archivists and librarians view their

primary responsibilities through dissimilar lenses. Defining the relationship between “an external nugget” of the archives and the central goals of the library is a challenge that begins with understanding the mission of each unit.

Mission statements are not empty words. They affirm goals, inform actions, drive the allocation of resources, and provide guidance. Defining its mission is, as Barbara Moran, Robert D. Stueart, and Claudia Morner write, “the most strategic step any organization can take.”² The mission is fundamental to the organization. As the quotation from the library director above implies, part of the mission of the archives includes striving toward a seamless “fit” within or even encouraging the broadening of the scope of the larger mission of the library.

Moran, Stueart, and Morner suggest that the mission statement of an information organization should succinctly address three fundamental questions: “‘Who (customers)?’ ‘What (services)?’ and ‘How (activities)?’ It demonstrates the value the organization can make in the lives, both personal and professional, of those it serves.”³ For units within that organization, mission statements become more specific, identifying not only the particular constituency but also its relationship to the larger organization. Libraries within larger institutions have their own mission statements, and archives within the libraries have their mission statements as well.

Richard J. Cox writes that for the archives in a library, “a mission statement should succinctly present the primary reason for the program’s existence, describe the scope and audience of the archives’ activities, explain the relationship between the archives and its parent institution, and set forth the reasons for acquiring and maintaining historical records.”⁴ In interviews for this volume, archivists and library directors uniformly expressed the desirability of fitting the archives into the library through their similar missions—supporting research, working with information resources, and serving users—although differences were noted as well, specifically in the historical and administrative aspects of archives.

A breakdown of actual mission statements shows not only where some of these distinctions lie but also where similarities are embedded. Similarities, differences, and overlaps are prominently on display in the following composite lists of mission components drawn from the longer mission statements of both academic libraries and archives and public libraries and local history collections.⁵

Academic Institutions

An Archivist Talks About Mission

The mission depends on exactly how you define a mission; there are two different things that could be involved. On the one hand, our mission is the documentary mission—to document the history and experience of social change in America. The other part of the mission might be how we fit into the rest of the library.

—Academic Archivist

Examining the mission statements of academic libraries and academic archives side by side reveals parallels and departures between these two units.

The Academic Library Focuses On:	The Academic Archives Focuses On:
• Providing resources and services that support the research, teaching, and learning needs of the academic community • Meeting the information and research needs of students, faculty members, and administration • Supporting the curriculum and enriching the student learning experience • Creating hospitable and accessible physical and virtual learning environments	• Providing accessibility to source materials for administrators, faculty members, students, researchers, and other members of the broader academic community • Appraising, collecting, organizing, preserving, and advocating for use of historical materials • Documenting and promoting the history of the institution, supporting the curriculum, and enriching the student learning experience • Serving as the institutional memory of the academic institution and providing outreach to the community

Analyzing these missions in terms of the “Who,” “What,” and “How” suggests even more precisely just where the missions of the academic library and archives differ and where they agree.

	Who?	What?	How?
Academic Library	Academic community, primarily students and faculty members	Resources, services, information, research needs	Creating hospitable and accessible environments, providing information access
Academic Archives	Administrators, faculty members, students, and outside researchers	Records of the institution, primary source materials	Documenting, appraising, collecting, preserving, organizing, providing access

Without a doubt, academic archivists also strive to create hospitable environments and academic librarians organize their collections, but nonetheless, their missions reflect different sets of priorities, responsibilities, and constituencies. Although both serve their institutional communities, both provide informational material, and both achieve these goals through access, the library focuses on service to students and faculty members, while the archives has a primary responsibility to the institution itself, to documenting and preserving its history, and to a research community that also includes outside researchers and scholars.

The Role of Special Collections

Special collections, defined generically as “collections of materials segregated from a general library collection according to form, subject, age, condition, rarity, source, or value,” may include rare books, personal or family papers, maps, posters, artifacts, images (and even organizational or institutional records not associated with the home institution) and increasingly born-digital content as well.⁶ Unlike materials stored in an institutional archives, special collections materials generally are acquired from outside the institution, either by purchase or by donation. Like institutional archives, the collections generally do not circulate.

In less complex or small organizations, special collections might be combined with the institutional archives but each would have separate mission statements that reflect their different but related objectives. In these cases, the mission of the academic archives would include holding both an institution’s official records and also related collections, such as faculty members’ personal archives/papers

or the records of student organizations, student scrapbooks, or alumni correspondence. The mission statement of the special collection would focus on collecting similar formats of materials but in specific subject areas. Both mission statements would point to the following areas: providing reference services; facilitating access, selection, research, and curriculum support; and emphasizing methods to preserve and protect their unique materials. The archives' mission statement would also emphasize the service provided to the administration and staff of the institution.

The organizational placement of an institutional archives within a special collections unit, or vice versa, while common in some libraries, is not ideal. Neither can be successfully managed, much less thrive, unless certain conditions are met. Directors of these overarching units need to know about the differences that distinguish special collections from archives, and must heartily support both areas, including the unique records management functions that are often fulfilled by archives. (Records management, the systematic administration of the institution's current records, will be discussed in detail in Chapter 4.) Records management is an often underappreciated but key activity for an institutional archives, which generally has some or significant responsibility for the continuing maintenance and preservation of the institution's records.

On the surface, special collections and archives are very similar, dealing with historical, rare, and unique materials, and they often share similar approaches in their mission statements. But the constituencies they serve, the training and professional development required of staff, their priorities, and the resources needed to carry out their missions are distinct.

An example of the similarities and differences is illustrated in the mission statements from an institution's Special Collections and University Archives:

Special Collections acquires, preserves, and provides access to rare and unique scholarly resources. Officially founded in XXX, Special Collections serves as a scholarly resource for students, faculty, and staff of the University of XXX, and local, regional, national, and international scholars and researchers.

The University Archives is the official institutional repository of records that document the history of the University of XXX. The Archives identifies, collects, and preserves materials that have enduring historical value, makes them accessible, and promotes their use to the university community, alumni, and members of the community beyond the University.

Finding the "Fit"

In discussions about mission statements, interviewees focused on how the archives "fits" into the library mission, whether as "an external nugget," as a subordinate unit, or as a complementary partner. Those responses suggested that finding the right fit is a major concern, both for library directors and archivists, because the position of the archives in an academic library is often not well defined. But the comments also beg the question of whether the overall library mission statement could better define and facilitate that fit.

If the library mission does not include the archives mission, then will the archives ever really be part of the library? If a library director elects to develop and support the archives, then do the goals of the archives become the library's goals as well? If, in addition to faculty members and students, administrators and institutional staff form part of the constituency of the archives, then are these populations also part of the library's constituency? Could/should library directors adjust—or expand—the library mission to accommodate the mission of an archives? These and similar questions underlie much of the discussion in the following chapters.

Public Libraries and Local History Collections

An Archivist Talks About Mission

With the public library, the mission has to do with providing information to the general public. Education[al] and some cultural and entertainment value . . . go into that, too. I find that a lot of people are really interested in the history of this area. When people come in and they are looking for background, I can give a really quick overview of the entire history of this area.

— Archivist, Local History Collection

For local history collections in public libraries, harmonizing the mission statements and finding the fit is less challenging because local history collections are not “an external nugget”—valuable, but outside the core mission—but directly complement and enhance the overall mission of the public library.

The Public Library Focuses On:	A Local History Collection Focuses On:
• Assuring free and open access to resources and services • Providing materials, services, and information for all community residents of all ages for personal enrichment, enjoyment, and education needs • Improving the community’s quality of life by offering informational and recreational services	• Making local history materials available to researchers and the general public • Developing awareness and appreciation of local history • Collecting and preserving historical materials that document the town or locale

Analyzing these missions in terms of the “Who,” “What,” and “How” suggests a similarity in this working environment that harmonizes the library/archives relationship within the community.

	Who?	What?	How?
Public Library	Local communities	Resources, materials, and services for all ages; improving the quality of life	Offering education and recreational materials; free and open access
Local History Room	Local communities, outside researchers, genealogists and historians	Developing awareness of local history and making these materials available	Developing awareness and appreciation; collecting and preserving resources that shed light on local history

A local history room fits naturally and seamlessly into the overall mission of a public library, where the overriding commitment is service to diverse and varied communities. While the local history room may collect institutional records or even some local government records, its emphasis on collecting the history of the town or county itself complements the collecting activity of the library. Its constituency, which includes both the local communities and researchers outside the communities, is part of a shared mandate.

Common Ground: Mission

Overall, archivists and librarians in both academic and public libraries share at least one important goal: service—to their users, to their institutions, and to their communities. Archives also have a strong historical and societal mandate, and this mandate can feed into and enhance those comprehensive service goals in many useful and productive ways.

The potential of this synergetic relationship between libraries and archives was apparent in interviews with library directors. Public library directors, in particular, saw local history as complementing their general collections and representing the town or city in a holistic way.

A Library Director Talks About Mission

Our library is a mixed-use institution in the sense that we have two very strong things: the archives with the history of our community and the library [carrying] on in a day-to-day normal way. And these things naturally blend together in what is the hallmark of our city. It's an immigrant city and so it's a city for new people and it's a city for established folks to come and look at their roots. . . . I don't know how to express it better than that, but it's an all-in-one philosophy.

— Director, Public Library

PROFESSIONAL ROOTS: DIVERGENT HISTORIES BUT COMMON GOALS

In addition to mission statements, another key to understanding the similarities and divergences between libraries and archives lies in the professional roots of each type of institution. Historically, the purposes and objectives of archives and libraries have never been exactly the same, and their foundations speak both to different professional cultures and different professional requirements. Considering the genesis of both professions is useful in understanding not only where these dissimilarities came from but also how deeply they are embedded within professional identity.

The roots of both professions stretch back to ancient times, when record keepers sat at the shoulders of pharaohs and kept the palace rolls and receipts and librarians tended and managed the scrolls in the Royal Library of Alexandria. These fundamental tasks—record keeping and information access—defined the essential roles of archivists and librarians for thousands of years and, as the mission statements indicate, to some extent these tasks continue to define their roles today. Confusion between the two roles, particularly on the part of the public, researchers, and institutional administrators, has also been part of that long history. Despite the tendency to conflate archives and libraries, the historical trajectory of these two professions in the United States has not been parallel.

Archives

In the United States, citizen-historians were the first archivists, focusing on manuscripts and the founding papers of the new nation. Citizens interested in their history established the Massachusetts Historical Society in 1791 with the personal collections of Reverend Jeremy Belknap and his like-minded friends. Their goal was to create “a repository and a publisher collecting, preserving, and

disseminating resources for the study of American history.”⁷ At the same time, the daily working records of the colonies and then the nation—vital statistics, land records, and governance minutes and meetings—were kept within the municipalities, towns, cities, and states that produced them. These records were not kept by historians or librarians but by town clerks and civil servants, often elected or appointed with little or no expert knowledge or training.⁸

It was not until the first state archives was established in Alabama in 1901 that public and institutional records practices solidified into a professional approach based on archival principles.⁹ These records were primarily managed by historians, and it was historians, through the American Historical Association, who championed the establishment of a central federal archives repository.

The 1934 opening of the National Archives of the United States, in addition to consolidating federal records, heralded a new phase of federal archival endeavor, namely, records management.¹⁰ Records management, which evolved at the National Archives as a way of controlling the ever-burgeoning mass of federal records coming in to the Archives, ultimately became an offshoot profession of its own, but one that is closely allied to archives. In many academic institutions the archivist is also the records manager or manages a records management unit. In some public libraries, the local history unit may work with the town’s municipal or county clerk’s office to help provide records assistance to the community.

The two different approaches to maintaining manuscripts and public records that characterized record practices in the United States from its earliest days split the profession into two streams—a public archives tradition and a historical manuscript tradition.¹¹ Public records “provided guarantees for all citizens, ensuring legal rights and preventing infringement of those rights either by their fellow citizens or by the government itself,” emphasizing the importance of keeping records for evidence and accountability.¹² Alternatively, historical manuscript preservation involved collecting and organizing nonpublic materials into repositories for scholarship and research. Many of these early historical manuscript acquisitions formed the basis of major research collections such as those at the Library of Congress Rare Books and Manuscripts Division.¹³ To a great extent, academic libraries that house both institutional archives and special collections are heirs to this dual tradition.

Today, through common standards and practices, and particularly through the proliferation of electronic records, these two traditions are merging not only in the ways that archivists identify themselves, but, as Rebecca Hirsch writes, they are “playing themselves out in the various debates about how to educate new archivists, how to manage electronic records, the importance of cultural values versus evidentiary ones and to whom an archivist is accountable.”¹⁴

Libraries

Library development in the United States followed a very different trajectory. Benjamin Franklin started the first nonacademic library, the Library Company of Philadelphia, in 1731 as a subscription service with a collection of books that might otherwise have been too expensive for a single individual to purchase. In his autobiography Franklin famously expressed the egalitarian and educational intentions of these early subscription libraries, writing, “these Libraries have improved the general Conversation of Americans, made the common Tradesmen and Farmers as intelligent as most Gentlemen from other Countries, and perhaps have contributed in some Degree to the Stand so generally made throughout the Colonies in Defence of their Priviledges.”¹⁵ Inspired by Franklin’s

example, equal accessibility and social improvement have characterized the development of the library profession in the United States.

The first free public library was established in Peterborough, New Hampshire, in 1833. Academic libraries started even earlier with the founding of “New College,” later renamed Harvard College, in 1636. John Harvard donated approximately four hundred of his books to Harvard, inspiring the expansion and development of the first academic library in the colonies.¹⁶ The Library of Congress was established in 1800 when the seat of the U.S. government moved from Philadelphia to Washington. At that time, Congress appropriated \$5,000 to purchase books for the support of congressional activities. By the last quarter of the nineteenth century, driven by a host of social factors, including immigration, a commitment to public education, and the creation of public libraries through the philanthropy of Andrew Carnegie, public libraries saw an explosion in growth that continued into the twentieth century.¹⁷

Common Ground: Professional Roots

Both record keeping (in archives) and information access (in libraries) were active components of the public sphere from colonial times. But while libraries consistently followed a mandate of service and education that permeated all levels of society, records were kept for a variety of different reasons: as evidence protecting the rights of citizens, as the infrastructural proofs of government and institutions, and for historical preservation and scholarly research. The Library of Congress was founded in 1800, while the National Archives did not come into existence until 1934. The difference of almost a century and a half suggests that the concept of a “library” was long familiar to and embraced by the American public while the concept of an “archives,” while no less relevant to American life, was (and remains) less well understood.

The different historical roots and trajectories of these two disciplines offer some explanation for the disparities in professional identities indicated by the mission statements. As Heather MacNeil writes, for archivists:

Professional identity has been constructed, in part, around two narrative tropes: the archivist as trusted custodian and public archival institutions as trusted repositories. These tropes revolve, in turn, around a set of assumptions about the archivists’ knowledge of what makes records trustworthy and the role of archival institutions in preserving and safeguarding a society’s records and making them available to the public.¹⁸

For librarians, professional identity may best be characterized by Ranganathan’s five laws of library science. As one librarian, Emily Rimland, writes, these laws “ground” the profession: “Ranganathan’s five laws of library science are timeless objectives that put our profession’s goals in perspective. If we ever lose sight of why or how we’re doing our job, Ranganathan’s laws provide guidance and structure.”¹⁹ Ranganathan’s five laws—books are for use; every reader, his/her book; every book, its reader; save the time of the reader; and the Library is a growing organism—are rooted in service, societal good, and the public welfare.²⁰

PROFESSIONAL IDENTITY

Archivists

“Thinking like an archivist” and understanding “the process of archival work” is a professional state of mind that archival educators strive to develop in their students.²¹ The phrases express the belief that not only is there a distinct archival way of thinking about records, documents, and information, but also that unless a person thinks like an archivist, he or she cannot effectively do archival work. Of course, the same can be said of any work; an accountant must think like an accountant or a surgeon must think like a surgeon to function effectively.

What does “thinking like an archivist” mean? It means approaching records and manuscripts from a particular perspective—not as creators for whom records often are merely by-products toward another goal, but as individuals standing outside the creation process, analyzing and managing the materials for use over time and bringing some measure of objectivity to that analysis. Thinking like an archivist means seeing records as organic, as the by-products and representations of actions, events, and lives, whether the life of a person, an institution, or a government.

Records—be they diaries, e-mail, or budgets—tell stories. Thinking like an archivist means recognizing that any group of records are part of a larger story—or multiple stories—that can only be truly understood in relationship to the creators of the records and the wider societal context in which that creator lives. Above all, thinking like an archivist means taking very broad and long-term views of the multitude of alliances between records and the societies that produce them; as James M. O’Toole and Richard J. Cox write, “for the archivist, records perform not merely one service but a whole range of them, some of which cannot be anticipated in advance. Making that variety of use possible—indeed encouraging it and making it easy—is the archivist’s goal.”²²

Archivists work primarily with unpublished materials, including the records of governments and institutions, and the personal papers and manuscripts or “records” of individuals and organizations. As demonstrated in the vignette at the beginning of this chapter, published materials can also be in an archives if they have a strong connection to a collection (in this case, the institution itself). Archives could range from organizational memoranda, birth records, and annual reports to personal correspondence and scrapbooks, materials that today are increasingly produced in electronic formats.

In the United States, distinctions are often made between records and manuscripts (also called “personal papers”). Records are generally created by institutions and governments, while manuscripts or personal papers are generally created by individuals. In reality, these materials all share the similar characteristics of being unpublished and of being generated as a consequence of an activity, whether that activity is creating a budget, sending an e-mail message, writing a memorandum, recording the minutes of a meeting, or typing the draft of a novel.

Archivists keep and preserve records both for evidence and for their research value as information. They organize materials in the aggregate according to their creation and relationships, thus adhering to the key archival principles of “provenance” and “original order.” Provenance and original order are the fundamental organizing structures of all archival materials, be they records or manuscripts. The principle of provenance requires that records created or assembled by one person, family, or organization must be maintained separately from those having other origins. The complementary principle of original order stipulates that records should, whenever possible, be kept in the

arrangement pattern and sequence established by the creating person, family, or organization. The proper application of these concepts preserves the context of the records and promotes their discoverability and utility. For example, it allows users to take advantage of the original finding mechanisms developed by the creator, and it preserves the relationship between two individual documents or letters, often providing essential evidence about the information in each source or helping users interpret the content of each item.

Librarians

“Thinking like a librarian” also has its particular qualities and characteristics that include a strong sense of service, understanding how to search for and evaluate sources, asking questions and finding answers, and believing that everyone has the right to knowledge. In *The Portable MLS: Insights from the Experts*, editors Ken Haycock and Brooke E. Sheldon directly pose the question of what it means to “think like a librarian.” They suggest that “there are basic principles that influence the decision-making process of every professional librarian.” These principles begin with Ranganathan’s five laws of librarianship and “form the foundation for professional education and thinking like a librarian, even when they are not articulated. . . . Regardless of the language used, the five laws are the bedrock of librarianship as a service profession.”²³

In addition, thinking like a librarian might also mean the willingness to embrace a wide range of unknowns. A librarian writing in *Library Journal* expresses some of these attributes as she lists the qualities that define her work:

Being a librarian means I have the freedom to be interested in anything and everything. You have to embrace randomness when you aren’t sure whether the next reference question will be about primary sources on feminist political organizations in Latin America or for data on the public financing of sports facilities. . . . We librarians are kicked out of the nest half-fledged and know that we have to keep on learning, that a lot of our further education will be DIY, and that the world is full of interesting things to explore. The MLS comes with a license to be widely curious and unafraid of things we don’t already know.²⁴

Librarians have traditionally dealt primarily with published or synthesized materials. They organize and catalog them by item and express the relationships between the items through classification and subject headings. Their primary focus is on service and use, underpinned by strong beliefs in intellectual freedom and equality of access. As a former president of the Society of American Archivists (SAA) noted in his presidential address, “librarianship is an information profession wherein data are valued as independent entities, separate from the context that created them. By contrast, archivists must focus on unique documents created often as the accident rather than the object of an action.”²⁵

Common Ground: Professional Identity

“Thinking like a librarian” or “thinking like an archivist” may be more a matter of perspective, orientation, and priorities than innate and deep-seated differences. Thinking in both professions includes a commitment to the power of information, whatever form that may take. It includes a belief that everyone has the right to pursue knowledge and that a primary responsibility of an information professional is to provide access to knowledge.

PROFESSIONAL VALUES

The Professional Organizations' Statements of Values

Thinking either like an archivist or a librarian is intrinsically a question of values. The Society of American Archivists (SAA) and the American Library Association (ALA), the professional associations for both professions in the United States, list their core values with their codes of ethics on their websites. As with the mission statements discussed earlier, the lists of core values articulated by SAA and ALA bring professional similarities and differences into sharper focus. Concerns for access, diversity, preservation, service, and social responsibility are shared. The differences (confidentiality/privacy versus accountability; public good versus responsible custody; democracy versus advocacy) seem to reflect the ways in which each profession views its primary responsibilities. Librarians see themselves as principally responsible to their users, and archivists have an additional responsibility to the materials in their charge and to the creators and donors of those materials. Table 1 highlights these similarities and differences.

Table 1. Core Values of Archivists and Librarians

ALA Core Values	SAA Core Values
Access	Access and Use
Confidentiality/Privacy	Accountability
Democracy	Advocacy
Diversity	Diversity
Education and Lifelong Learning	History and Memory
Preservation	Preservation
Professionalism	Professionalism
The Public Good	Responsible Custody
Intellectual Freedom	Selection
Service	Service
Social Responsibility	Social Responsibility

Sources: American Library Association, "Core Values of Librarianship," June 2004, <http://www.ala.org/advocacy/intfreedom/statementspols/corevalues>; and Society of American Archivists, "Core Values Statement and Code of Ethics," May 2011, <http://www2.archivists.org/statements/saa-core-values-statement-and-code-of-ethics>.

Although the words may be the same, the different perspectives become clearer in the definitions offered both by ALA and SAA. For example, both associations list access as a value. For librarians, access means equality of access for the users and to the material. The ALA definition states that "all information resources that are provided directly or indirectly by the library, regardless of technology, format, or methods of delivery, should be readily, equally, and equitably accessible to all library users."²⁶ For archivists, access depends on the circumstances surrounding the information resource. While archivists support and promote equality of access to users, it must be "consistent with any mandatory access restrictions, such as public statute, donor contract, business/institutional privacy, or personal privacy."²⁷

Another example of the differences is the approach to "diversity." Librarians address diversity primarily in terms of resources and services to the community, stating that they "value our nation's

diversity and strive to reflect that diversity by providing a full spectrum of resources and services to the communities we serve.” Archivists primarily address diversity through documentation and collections, where they “collectively seek to document and preserve the record of the broadest possible range of individuals, socioeconomic groups, governance, and corporate entities in society.” Both professions embrace diversity as a core value but see their relationship to that value from different perspectives.

Institutional Values

For an archives in a library, demonstrating value to the parent institution is critical to its continued viability. In tight budget times when even the value of the library itself is being challenged, both the archivist and the library director need to define the added value that the archives brings to the institution. In interviews conducted for this book, archivists and library directors made it clear that they saw that relationship from at least two different and not necessarily compatible points of view.

For the directors, the archives was seen as a means to generate more resources for the library. The unique collections held in the archives added to the distinctiveness of the library. Digitization of these collections enabled the library to showcase this uniqueness. Donations of collections provided fundraising opportunities while collaboration with the library offered opportunities to attract new patrons and explore new avenues, such as genealogy, in public libraries. Despite the relevance of records management and record keeping to the well-being of the institutions, library directors did not necessarily understand this to be an important contribution.

For the archivists, the added value that the archives brought to the library was both the acknowledgment of their recordkeeping value for the parent institution and a rationale for receiving more resources. The distinctive collections in the archives attracted researchers and enhanced the library’s

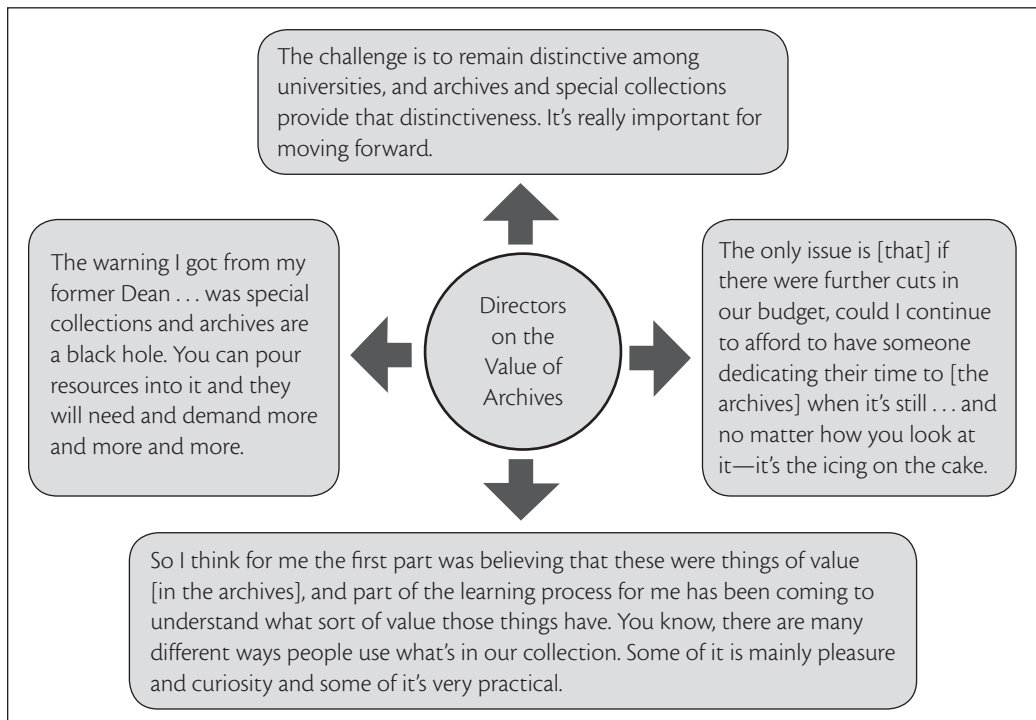


Figure 1. Library Directors on the Value of the Archives

overall cultural offerings but required special treatment, including preservation, security, and staff to make these materials accessible.

Figure 1 illustrates four different perspectives on the value of the archives from the viewpoint of library directors.²⁸ While the quotations from the interviews on the top and bottom stress the added value that the archives brings to a library, the quotations on either side of the figure focus on negative impacts.

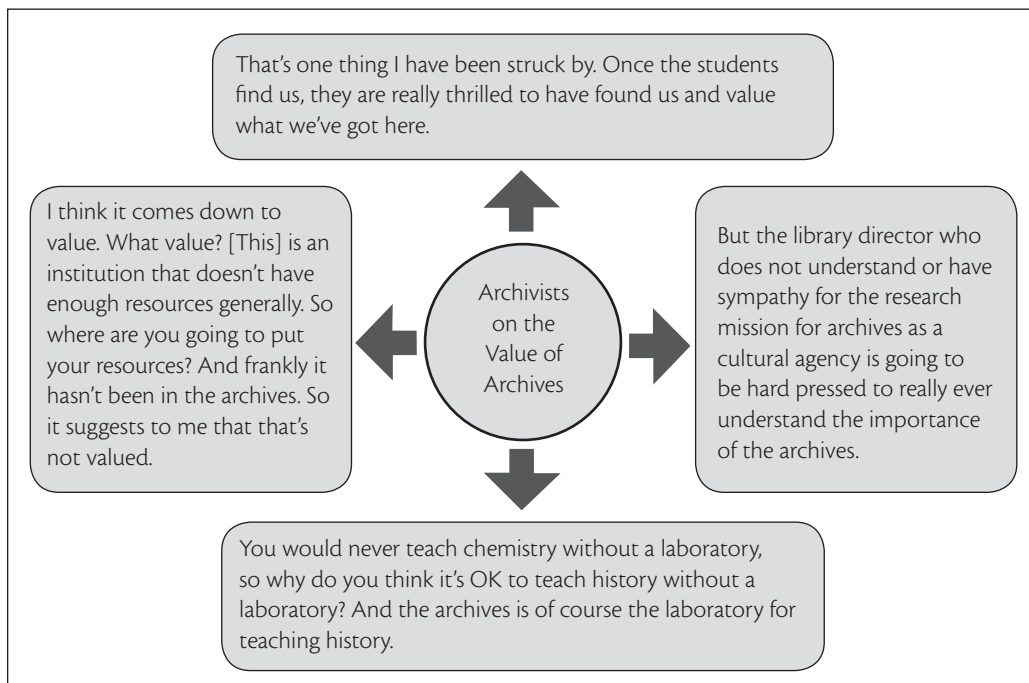


Figure 2. Archivists on the Value of the Archives

Figure 2 illustrates four different perspectives on the value of the archives from the viewpoint of the archivist. While the interview quotations on the top and bottom emphasize the value of the archives, the quotations on the side indicate the concern that those values are sufficient for continued sustainability.

FINDING THE COMMON GROUND

Despite concerns about resources, the majority of quotes in Figures 1 and 2 emphasize the value of the unique materials maintained in the archives. These unique materials further the overall educational/teaching/learning mission of the parent institution in an academic archives and the personal growth potential in a public library. The recognition of common values by both those interviewed and by ALA's and SAA's statements implies that there is much common ground between these two professions. Indeed, there are distinct—though overlapping—differences in missions and values, but those differences seem to be ones of emphasis and variation rather than dissimilarity.

Although in the past, disparities in both clientele and materials may have dictated distinct differences, today clientele and materials in both libraries and archives seem increasingly similar. Is a blog a primary source or a publication? Is digital data an item or part of an aggregate? Whatever the new formats of information may become, they all need to be selected, organized, and accessed, and, perhaps even more critically, preserved. Preservation, once more the concern of archivists than of librarians, has become a central concern for all information workers.

As archivists and librarians continue to find common ground, it is important that the distinctions, the dissimilar values, and the uncommon missions be recognized and respected as well. It is through these distinctions that each profession makes its own unique contributions to the many diverse missions of information. And while common ground may be found in values, it also must be communicated through language, an issue addressed in the next chapter.

NOTES

- ¹ Robert M. Warner, "Librarians and Archivists: Organizational Agenda for the Future," in *Archives and Library Administration: Divergent Traditions and Common Concerns*, ed. Lawrence J. McCrank (New York: Haworth Press, 1986), 167.
- ² Barbara B. Moran, Robert D. Stuart and Claudia Morner, *Library and Information Center Management*, 8th ed. (Santa Barbara, CA: Libraries Unlimited, 2013), 78.
- ³ Ibid.
- ⁴ Richard J. Cox, *Managing Institutional Archives: Foundational Principles and Practices* (New York: Greenwood Press, 1992), 27.
- ⁵ The charts in this chapter were compiled from mission statements published on the web by institutions in each of the following categories: university/college libraries (5), university/college archives (4), university/college special collections (5); and local history collections (4).
- ⁶ "Special collection," Dictionary.com, <http://dictionary.reference.com/browse/special+collection?s=t>.
- ⁷ Massachusetts Historical Society, "History of the MHS," <http://www.masshist.org/about/history>.
- ⁸ For a more detailed discussion of the origins of archives in the United States, see James M. O'Toole and Richard J. Cox, *Understanding Archives and Manuscripts* (Chicago: Society of American Archivists, 2006), ch. 2.
- ⁹ Rebecca Hirsch, "The Permanence of Provenance: The 'Two Traditions' and the American Archival Profession," *Journal of Archival Organization* 8 (2010): 66.
- ¹⁰ Records management is discussed in detail in Chapter 4.
- ¹¹ The "two traditions" within the archival profession have been the subject of much discussion in the professional literature. See Frank G. Burke, *Research and the Manuscript Tradition* (New York: Scarecrow Press, 1997); and O'Toole and Cox, *Understanding Archives*, 53–59.
- ¹² O'Toole and Cox, *Understanding Archives*, 54.
- ¹³ The Division holds the remains of the original collection donated to the library by Thomas Jefferson.
- ¹⁴ Hirsch, "Permanence of Provenance," 66.
- ¹⁵ Benjamin Franklin, *The Autobiography of Benjamin Franklin*, ed. Jim Manis, Pennsylvania State University, Electronic Document Series, 1998, 66.
- ¹⁶ Sharon Weiner, "The History of Academic Libraries in the United States: A Review of the Literature," *Library Philosophy and Practice* 7 (Spring 2005): 2.
- ¹⁷ Kathleen de la Peña McCook and Katharine J. Phenix, "Public Librarianship," in *Encyclopedia of Library and Information Sciences*, 3rd ed., ed. Marcia J. Bates and Mary Niles Maack (New York: Taylor and Francis, 2009).
- ¹⁸ Heather MacNeil, "Trust and Professional Identity: Narratives, Counter-narratives and Lingering Ambiguities," *Archival Science* 11, no. 3–4 (2011): 175.
- ¹⁹ Emily Rimland, "Ranganathan's Relevant Rules," *Reference and User Services Quarterly* 46, no. 4 (Summer 2007): 24.
- ²⁰ Ranganathan's five laws were originally expounded in his book, S.R. Ranganathan, *The Five Laws of Library Science* (London: Edward Goldston, 1931).
- ²¹ Chris Warnick, "Locating the Archive: Finding Aids and Archival Scholarship in Composition and Rhetoric," in *Working in the Archives: Practical Research Methods for Rhetoric and Composition*, ed. by A. Ramsey et al. (Carbondale, IL: Southern Illinois University Press, 2009), 99.
- ²² O'Toole and Cox, *Understanding Archives*, 87.
- ²³ Ken Haycock and Brooke E. Sheldon, eds., *The Portable MLS, Insights from the Experts* (Westport, CT: Libraries Unlimited, 2008), xvi.
- ²⁴ Barbara Fister, "Ten Easy Pieces on the Profession of Librarianship: Peer to Peer Review," *Library Journal* (March 21, 2013), <http://lj.libraryjournal.com/2013/03/opinion/peer-to-peer-review/ten-easy-pieces-on-the-profession-of-librarianship-peer-to-peer-review/>.
- ²⁵ William J. Maher, "Archives, Archivists, and Society," *American Archivist* 61 (Fall 1998): 252–265. Incoming address as president of the Society of American Archivists, delivered August 30, 1997.
- ²⁶ American Library Association, "Core Values of Librarianship," June 2004, <http://www.ala.org/advocacy/intfreedom/statementspols/corevalues>.
- ²⁷ Society of American Archivists, "Core Values Statement and Code of Ethics," May 2011, <http://www2.archivists.org/statements/saa-core-values-statement-and-code-of-ethics>.
- ²⁸ The authors wish to acknowledge and thank Patricia Condon, research assistant for this book, for her help in conceptualizing and constructing Figures 1 and 2.

2

Finding Common Ground: Language



VIGNETTE: APPRAISAL IN TWO LANGUAGES

The Smythe family had lived in the town of Myddle, Massachusetts, for many generations. They were particularly proud of their great-great-grandmother, a well-known poet and one of the few known women writers of colonial New England. They were thrilled when they discovered two handwritten copies of her poetry tucked away in an attic trunk.

As a gesture of support for the town and wanting to keep the poetry close to the family, they decided to donate them to the local history room of the Myddle Public Library. As part of the donation, they asked the library director to have the volumes appraised so that they could get tax credit.

Happy to comply but recognizing that rare materials appraisal could be costly, the library director recalled that the archives students in her library school had taken a course called *Appraisal*, and so she asked the archivist in the local history room to appraise the notebooks. She was very surprised to learn that although archives appraisal involved assessing value, it had nothing to do with assessing monetary value. In fact, archivists are ethically prohibited from providing donors a monetary value for materials to be donated to their repository. Discovering that the same word could have two very different meanings even within seemingly similar professions gave the library director pause as she began to understand that libraries and archives, even when sharing the same spaces, do not always share the same language.



For archivists and librarians working together in the same institution, communicating through a common professional language seems like a natural consequence of the goals that they share. In reality, however, shared communication is often difficult to achieve because each profession has developed its own professional language. As Deborah Levitov notes, “each profession has jargon unique to the topics inherent in the specialization. . . . It is not always realized by those in the profession, however, that their common language could be a communication barrier.”¹

The confusion, misunderstanding, and even hostility that may result from miscommunication highlights the pivotal role that language plays not just in the practice of a profession, but also in the evolution of professional identity (see Chapter 1). As specific terminology is used to describe unique features of the work, it also fosters group identity by distinguishing members of a particular profession from those outside it.² Professional language is both unifying and exclusionary—uniting practitioners of similar occupations through common terminology but dividing professions one from the other through separate vocabularies.

This chapter considers the language and terminology used separately and in common by archivists and librarians. Professions develop vocabularies over time, through their histories, through their unfolding theories and principles, and through their emerging practices. As discussed in Chapter 1, libraries and archives have evolved through different routes, so it is not surprising that, while there is considerable overlap, libraries and archives do not completely share a professional language.

PROFESSIONALLY SPEAKING

As Kari Gibson writes, “Language—both code and content—is a complicated dance between internal and external interpretations of our identity.”³ Our language is an important part of defining who we are and what we do, both to others and to ourselves. Because the naming of the things we do is often highly specific, applicable only to a particular occupation and understood within a limited circle, the professional language we use identifies us as knowledgeable members of a particular group, consolidates our professional identity, and gives us an entrée into a professional circle. Professional language is a complex mixture of establishing personal and group identities, defining borders, creating barriers, and often guarding or promoting particular territory. Sometimes dismissed as “jargon” and more positively referred to as “terminology,” professional language facilitates cohesion, solidarity, and group distinctiveness for a profession but can also alienate those outside the profession. Professional language can separate archivists and librarians from one another as well as from their constituents. However, it is professional terminology that helps to define professions and bind together those who work in them.

Terminology may express seemingly different concepts that, in reality, point to similar activities and goals. For example, librarians *catalog* while archivists *process*, but both organize and describe materials to make them accessible, whether by shelf numbers and MARC records or by inventories and finding aids. Yet, while achieving the same goals, *catalog* and *process* also imply activities that reflect specific professional practices and mind-sets. While a common language between librarians and archivists may be neither achievable nor even desirable, a common understanding of differences in language and meaning is essential.

ARCHIVES AND LIBRARIES: WORDS AND MEANINGS

Archivists and librarians employ different words for similar concepts, the same word with slightly different meanings, or terminology specific to their disciplines alone. Archivists use specialized words and phrases for some fundamental archival concepts that are not found at all in the library vocabulary.

Because many archivists are educated in library/information science schools, they are generally familiar with library terminology. For the smooth and effective management of an archives in a library, be it academic or public, it is essential that the library administration as well as the library staff also become familiar with archival terminology.

The following features present some of this similar and dissimilar terminology. First is a list of the key unique archival terms and definitions, used by archivists in their everyday work. Following that are three tables listing varied vocabulary that overlaps between archives and libraries; the tables are organized to identify same words with different meanings, different words with similar meanings, and same words with similar meanings. The tables are by no means exhaustive but do illustrate the depth and complexity of terminology issues. Note that as with many disciplines, archival and library terminologies often carry nuanced and layered meanings that are continuously being debated and redefined within the professions. Many of the terms, such as *provenance* and *processing*, will be discussed in detail in later chapters; this brief listing does not attempt to go beyond the short, standard definitions found in the glossaries developed by both professions.⁴

Some Uniquely Archival Terminology

Appraisal: The process of determining whether records and other materials have continuing or permanent value and should therefore be retained in an archival repository. Archival appraisal does not include monetary assessment, although donors of personal materials may sometimes hire an individual to complete a monetary appraisal before donating a collection to an archives.

Archives: This term has several different but equally applicable definitions:

- A place that preserves historical materials
- The organization responsible for collecting and preserving the materials
- Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information or as evidence of the functions and responsibilities of their creator; may also be called *records*

Arrangement and Description: Related archival processes that include 1) the arrangement of a collection in either its original order or in an order imposed by the archivist, and 2) the description of the collection by the archivist for the user. The processes of arrangement and description may result in a *finding aid*. Arrangement and description is also called *processing*. Practices are evolving as archivists collect born-digital records.

Collection: A body of archival material formed by or around a person, family group, corporate body, or subject either from a common source as a natural product of activity or function or gathered purposefully and artificially without regard to original *provenance*.

Cubic foot: A measure used to indicate the quantity of materials, commonly used to describe the size of large collections. Collections may also be measured by *linear foot*.

Custody: The responsibility for the care of archival material based on its physical possession. Establishing the chain of custody for records or the succession of offices or persons who have held materials from the moment they were created is essential for the use of the records as evidence.

Donor Agreement or Deed of Gift: A formal and legal agreement between the donor of a collection and the repository. It generally applies to personal papers and transfers ownership and many legal rights to the donated materials to the repository.⁵ Institutional records are usually delivered to a repository through a transfer agreement in accordance with a *records schedule*. The deed of gift is a critical document for the archives because it defines future access, ownership, and use.

Finding Aid: A single document that describes a group of records or a collection. It is defined by *provenance*, or the name of the records creator or compiler. It establishes physical and intellectual control over the materials and helps users discover, access, and understand the collection. Generally, a finding aid includes a wide range of information about the collection, including a biographical or administrative history of the records creator; notes concerning topics such as the collection's acquisition history, scope and content, and access restrictions; and an inventory list. An inventory may include—and even link to—both digitized and born-digital materials.

Institutional Archives: A repository that manages records created or received by the parent institution.

Linear Foot: A standard measure for archival collections by the amount of space on a shelf. Collections are also measured by *cubic foot*.

Manuscript Collection: A collection of personal or family papers. Although the traditional meaning of *manuscript* is “handwritten,” a manuscript collection may be in any format or media, including electronic media. The materials may also be called *personal papers* or *personal archives*.

Organizational Records: The records of an organization, corporate body, or nonprofit institution. Also often referred to as *institutional records*.

Original Order: The primary organizing principle of archival materials, referring to the organization and sequence of records in the order that they were created. According to Richard Pearce-Moses, author of the Society of American Archivists' (SAA) *Glossary*, “Maintaining records in original order serves two purposes. First, it preserves existing relationships and evidential significance that can be inferred from the context of the records. Second, it exploits the record creator's mechanisms to access the records, saving the archives the work of creating new access tools.”⁶

Personal Papers: Documents in any format, both analog or digital, created, acquired, or received by an individual in the course of his or her affairs. May also be called *manuscripts*.

Processing: Refers to the act of arranging and describing the papers of an individual or family or the records of an organization. See *Arrangement and Description*.

Provenance: The basic organizational principle of all archives, generally referring to the individual, family, or organization that created or received the items in a collection. The principle of provenance

dictates that records of different origins (provenance) cannot be mixed. Because the context in which records are created provides much of the meaning and value of the records, both as evidence and as information, archivists may not mix records created or compiled by one individual or group with those created or compiled by another individual or group. See also *Respect des Fonds*.

Records Management: The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition. See Chapter 4 for a detailed discussion of records management.

Records Schedule: A legal document describing the recurring record series of an agency, institution, or administrative unit, specifying which records are to be maintained and preserved for their continuing archival value and which can be destroyed after a particular period of time.

Respect des Fonds: A term used primarily outside the United States that refers to the concept of relationships and includes the twin principles of provenance and original order. According to Richard Pearce-Moses, “The principle of provenance or the *respect des fonds* dictates that records of different origins (provenance) be kept separate to preserve their context.”⁷

Repository: Any type of organization that holds documents, including business, institutional, and government archives, manuscript collections, libraries, museums, and historical societies, and in any form, including manuscripts, photographs, moving image and sound materials, and their electronic equivalents.

Series: A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity. These are often represented as the major descriptive units within a finding aid.

Table 2. Same Word, Different Meaning

Term	Archives	Library
Accession	Materials physically and legally transferred to a repository as a unit at a single time; an acquisition; may involve a donor	Recording an addition of a bibliographic item to a library collection. This addition could be acquired in a variety of ways—by purchase, gift or exchange
Appraisal	The process of determining whether records and other materials have continuing or permanent value and should therefore be retained in an archival repository	The process of determining the monetary value of a gift or a collection
Collection	A group of materials with some unifying characteristic or a single provenance A group of materials assembled by a person, organization, or repository from a variety of sources	In library cataloging, three or more independent works or long excerpts from works by the same author, or two or more independent works or excerpts from works by different authors, not written for the same occasion or for the publication in hand, published together in a single volume or uniform set of volumes—for example, a book of essays written by one or more essayists
Manuscript	An unpublished document	A work of any kind (text, inscription, music score, map, etc.) written entirely by hand
Processing	The arrangement, description, and housing of archives for storage and use. Involves a series of steps, including appraisal, preservation, arrangement and description, and the creation of finding aids	Everything done to a bibliographic item after it is acquired by a library, before it is placed on the shelf, including accessioning, cataloging, stamping, labeling, numbering, and jacketing
Provenance	The basic organizational principle of all archives, generally referring to the individual, family, or organization that created or received the items in a collection	The custodial history and record of ownership
Series	An organizational unit within a collection. A group of similar records maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or have some other relationship arising out of their creation, receipt, or use	A group of separately published works related in subject and/or form, issued in succession (numbered or unnumbered) by a single publisher or distributor, usually in uniform style, each bearing, in addition to its own title, a collective or series title applied by the publisher to the group as a whole

Source note for Tables 2-4: Unless cited otherwise, these definitions are adapted from Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (Chicago: Society of American Archivists, 2005), <http://www2.archivists.org/glossary>, and Joan M. Reitz, *Online Dictionary for Library and Information Science* (Santa Barbara, CA: ABC-CLIO, 2004–2014), http://www.abc-clio.com/ODLIS/odlis_A.aspx.

Table 3. Different Word, Similar Meaning

Archives	Library	Meaning
Processing	Cataloging	Organization of material so that it can be located and used
User/patron/researcher	Patron/user/customer	An individual who uses the collections and services of a repository

Table 4. Same Word, Similar Meaning

Term	Archives	Library
Access	Locating relevant information through the use of catalogs, indexes, finding aids, or other tools Also locating and retrieving information for use within legally established restrictions of privacy and confidentiality	The ease with which a person may gain entry into online systems or finding aids, use resources, or obtain needed information regardless of format; a related term, <i>accessibility</i> , generally refers to physical access into a building or area of a building or the degree to which a web or other resource is available to as many people as possible, especially those with disabilities or other special needs
Digital Preservation	"A series of managed activities necessary to ensure continued access to and preservation of digital materials for as long as necessary. . . . Those materials may be records created during the day-to-day business of an organization; 'born digital' materials created for a specific purpose, or the products of digitization projects." ⁸	"Digital preservation combines policies, strategies and actions to ensure access to reformatted and born digital content regardless of the challenges of media failure and technological change. The goal of digital preservation is the accurate rendering of authenticated content over time." ⁹
Holdings	The whole of a repository's collections	The total stock of materials, print and nonprint, owned by a library or library system, usually listed in its catalog. Synonymous in this sense with <i>library collection</i> In a narrower sense, all the copies, volumes, issues, or parts of an item owned by a library, especially a serial publication, indicated in a holdings statement in the record representing the item in the catalog
Outreach	The process of identifying and providing services to constituencies with needs relevant to the repository's mission, especially underserved groups, and tailoring services to meet those needs; creating awareness of the archives to potential constituencies	Library programs designed to raise awareness of services and particularly to meet the information needs of users who are underserved—for example, those who are illiterate or otherwise marginalized

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Preservation	Protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property The act of keeping from harm, injury, decay, or destruction, especially through noninvasive treatment	Prolonging the existence of library and archival materials by maintaining them in a condition suitable for use, either in their original format or in a form more durable, through retention under proper environmental conditions, or actions taken after a book or collection has been damaged to prevent further deterioration
Reference Services	A service to aid patrons in locating materials relevant to their interests. May be accomplished through a reference interview, in person or online	All the functions performed by a librarian to meet the information needs of patrons (in person, by telephone, or electronically)

The tables demonstrate that archivists and librarians share many concepts, if not always words. Archivists and librarians may agree on the basic essentials of collections and service, but differences in terminologies and meanings can undermine communication. For archivists working within library settings, the problem of terminology can be particularly challenging, not only communicating with users/patrons accustomed to library language, but also with library administrators. Librarians are also challenged in trying to equate archival language with their own.

Adding to these difficulties are perceptions from users/patrons who conflate archives and libraries and do not see differences between the work of these two professions. Because these two disciplines are often not differentiated, both from outside and even from inside the professions, the language is also not differentiated, leading to further confusion for patrons, researchers, users, administrators, and all who in some way deal with both libraries and archives. Yet this negative interaction could become a positive one if librarians and archivists were to unite and overcome their lack of knowledge of their distinct vocabularies to create clarity for themselves and the people who use their services.

Language in the Workplace

In addition to facilitating verbal communication, language has other important functions in the workplace. Linguists and sociologists suggest that it has several positive functions. These include supporting and reinforcing social and professional identities, bolstering social activities, and sustaining cultural, ethnic, and social groupings.¹⁰ On the less positive side, professional language can lead to “grouptalk,” in which the language of a particular group serves not only to “reinforce the identity of the group,” but often encourages “a form of collective myopia that could isolate a group from outside criticism or support.” Language, in other words, can reinforce group identity but can also actively work against cooperation and understanding.¹¹

This is particularly evident in the use of jargon or buzzwords—the ultimate grouptalk—a danger that many information institutions recognize and are taking steps to guard against. The shorthand and acronyms of jargon may not only exclude those outside the group but may also lead to confusion if the group needs to communicate with those outsiders. Grouptalk can be an impediment for both librarians and archivists when communicating with their users. Numerous case studies highlight the negative impact of library and archives jargon on user/patron interactions as well as on collaborative interdisciplinary projects, pointing to its effects in raising barriers and encouraging exclusion and elitism.¹² Trying to address this issue, a number of libraries and archives have created “jargon buster”

websites that seek either to explain arcane professional terminology or to translate this terminology into language that everyone can understand.¹³

In the introduction to *A Glossary of Archives and Records Terminology*, Richard Pearce-Moses notes that “jargon, used within a professional context, is a handy shortcut because its meaning is clear and often carries nuances that allow for succinct expression,” but, he also cautions, “the more archivists work with other communities, the more they must take the time—and words—to fully explain these concepts.”¹⁴ Equally important is the responsibility of archivists and librarians to use terminology that is easily understandable to current and future users.

SHIFTING MEANINGS

The evolutionary nature of professional language presents yet another potential obstacle to understanding in a world of rapidly developing technology. The new vocabularies developed for technology innovations are often re-imaginings of language already in use and may even be, as Daniel Coffey and Karen Lawson point out, “words previously understood to mean something else.”¹⁵ The digital environment has encouraged people to create even more layers of jargon and acronyms. For example, the National Archives of the United Kingdom notes that its “jargon buster” site also serves “as a reminder that digital information needs to be labeled carefully if we’re going to find and understand its value in the future.”¹⁶

As vocabularies change and meanings shift, not everyone in the workplace will recognize these changing meanings at the same time. Analysts suggest that “when the same word means different things to different people you’re going to spend more time managing meaning than managing the problem.”¹⁷ Over the past two decades, for example, the word *archives* has taken on multiple meanings outside the professional archives community and in some cases is used as a verb—“to archive.” For the information technologist, an “archive” is “offline storage and backup,”¹⁸ but to the digital humanist, an “archive” is a “grouping of materials that had been purposefully selected in order to be studied and made accessible.”¹⁹ While the meaning of the word may depend on the context in which it is used, different disciplines have adapted words to suit their own concepts. The archivist and the library IT specialist may be talking at cross-purposes if they both have different definitions of the word *archives*. To an archivist, “archiving” a collection implies a whole range of activities, including appraising, preserving, and processing. To the library IT department, “archiving” may mean storing data in the institutional repository.

COMMON LANGUAGE, COMMON GROUND

Although the professional vocabularies of archivists and librarians are complex mixtures of similarities and differences, both vocabularies work toward and express similar goals and missions: describing information materials, providing access to information services, and managing and preserving cultural heritage and institutional resources. While terminology differences can affect communication, they also offer paths toward an expanded understanding of the larger information environment. In an information world that is not only moving closer to information convergence but increasingly values inclusivity, finding a common language may not be as important as recognizing language differences and demonstrating the willingness to overcome them.

“Institutions may have common goals and visions, but they lack a common language. This lack of shared vocabulary regularly causes the professionals to speak at cross-purposes,” cautions Liz Bishoff on the need for collaboration.²⁰ Rapidly developing technologies both in the library and the archives community only increase the need for shared understanding. An academic library study of technological terminology and communication among library professionals and administrators found that although “the words themselves do not appear to be perceived as a problem . . . how the words are used is definitely an issue.”²¹ Advocating more sharing, more common understanding of terminology, the study’s authors concluded that, “the intertwining of words, language and communication to create a positive environment of any type of decision-making process is important.”²²

By sharing language, archivists, librarians, and library administrators will facilitate a positive working environment and stronger working relationships. During the interviews conducted for this book, at least one academic archivist was encouraged and heartened by her director’s apparent appreciation of archival terms:

An Archivist Talks About Terminology

I think the library director definitely has a grasp on the work that I do, the day-to-day work. She even uses terminology, especially when we are talking about collection development. She knows things like personal papers, diaries, ephemera. She knows that terminology, [and] that’s enough for me to believe she knows at least the basics of what goes on in an archives . . . what we’re looking to collect and preserve.

—Academic Archivist

BECOMING BOUNDARY-SPANNERS

Boundary-spanners are individuals who reach across borders, margins, or sections to “build relationships, interconnections and interdependencies in order to manage complex problems.” These individuals develop partnerships and collaboration by “building sustainable relationships, managing through influence and negotiation, and seeking to understand motives, roles and responsibilities.”²³ Information specialists—archivists and librarians alike—must become boundary-spanners to understand one another so that together they can meet the needs of a wide variety of information consumers who expect (and demand) seamless digital access.

Finding a common language may not be the point. Rather, appreciating the differences in terminologies and how those differences, taken together, express a holistic view of collections and services may be the first step on the path toward cooperation and collaboration. Moving beyond different terminologies to offer unified and simplified understandings for the patrons/users may be the next step. A number of academic libraries include glossaries on their websites. Including archival terminology in these glossaries might significantly foster understanding and unity, not only for users but for the library and archives staff as well.²⁴

The next chapter deals with education and explains how archivists and librarians developed separate terminologies, while later chapters probe beyond the terminology to lay out in detail what those words actually mean and what archivists actually do.

NOTES

- ¹ Deborah Levitov, "Language: Communication or Jargon?" *School Library Media Activities Monthly* 24, no. 5 (January 2008): 45.
- ² For a discussion of professional values as they relate to the information professions, see Catherine Foster and David McMenemy, "Do Librarians Have a Shared Set of Values? A Comparative Study of 36 Codes of Ethics Based on Gorman's Enduring Values," *Journal of Librarianship and Information Science* 44, no. 4 (2012): 249–262.
- ³ Kari Gibson, "English Only Court Cases Involving the U.S. Workplace: The Myths of Language Use and Homogenization of Bilingual Workers' Identities," *Second Language Studies* 22 (Spring 2004): 1.
- ⁴ These glossaries include Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (Chicago: Society of American Archivists, 2005), <http://www2.archivists.org/glossary>, and Joan M. Reitz, *Online Dictionary for Library and Information Science* (Santa Barbara, CA: ABC-CLIO, 2004–2014), http://www.abc-clio.com/ODLIS/odlis_A.aspx. Currently SAA is in the process of developing a *Dictionary of Archives Terminology* that expands on the *Glossary*. Definitions in this section have been generally adapted and abbreviated from Pearce-Moses, *Glossary*, and Reitz, *Online Dictionary*.
- ⁵ For more information, see Society of American Archivists, *A Guide to Deeds of Gift* (Chicago: Society of American Archivists, 2013), <http://www2.archivists.org/publications/brochures/deeds-of-gift>.
- ⁶ Pearce-Moses, "original order," *Glossary*, <http://www2.archivists.org/glossary/terms/o/original-order>.
- ⁷ Pearce-Moses, "provenance," *Glossary*, <http://www2.archivists.org/glossary/terms/p/provenance>.
- ⁸ Digital Preservation Coalition, "Introduction—Definition and Concepts," 2012, <http://www.dpconline.org/advice/preservationhandbook/introduction/definitions-and-concepts?q=definitions>.
- ⁹ Association for Library Collections and Technical Services, "Definitions of Digital Preservation," 2007, <http://www.ala.org/alcts/resources/preserv/defdigpres0408>.
- ¹⁰ James Paul Gee, *An Introduction to Discourse Analysis: Theory and Method*, 2nd ed. (New York: Routledge, 2005), 1.
- ¹¹ Keith Richards, *Language and Professional Identity: Aspects of Collaborative Interaction* (London: Palgrave Macmillan, 2006), 226.
- ¹² A good example of a user study that also references similar studies is Mark Aaron Polger, "Student Preferences in Library Website Vocabulary," *Library Philosophy and Practice* (2011): 1–16.
- ¹³ For example, Community Archives and Heritage Group, "Jargon Buster," June 17, 2007, <http://www.communityarchives.org.uk/content/resource/jargon-buster>; and Samford University Library, "Glossary of Library Terms and Jargon," 2014, <http://library.samford.edu/about/li/glossary.html>.
- ¹⁴ Note that the authors have reversed the order of these two paragraphs. Pearce-Moses, "archival lexicon," *Glossary*, <http://www2.archivists.org/glossary/archival-lexicon>.
- ¹⁵ Daniel Coffey and Karen Lawson, "Managing Meaning: Language and Technology in Academic Libraries," *College and Research Libraries* 63, no. 2 (March 2002): 151.
- ¹⁶ National Archives of the United Kingdom, "The Information Management Jargon Glossary," August 31, 2012, <http://blog.nationalarchives.gov.uk/blog/the-information-management-jargon-glossary/#more-3499>.
- ¹⁷ Coffey and Lawson, "Managing Meaning," 153.
- ¹⁸ Pearce-Moses, "archival lexicon."
- ¹⁹ Kate Theimer, "Archives in Context and as Context," *Journal of Digital Humanities* 1, no. 2 (Spring 2012), <http://journalofdigitalhumanities.org/1-2/archives-in-context-and-as-context-by-kate-theimer/>.
- ²⁰ Liz Bishoff, "The Collaboration Imperative," *Library Journal* (January 2003): 35.
- ²¹ Coffey and Lawson, "Managing Meaning," 158.
- ²² *Ibid.*, 160.
- ²³ Paul Williams, "The Competent Boundary Spanner," *Public Administration* 80, no. 1 (2002): 103–124.
- ²⁴ There are several examples of academic library glossaries online, including that of the University of Illinois at Urbana-Champaign at <http://www.library.illinois.edu/learn/intro/glossary.html> and Boston College, <http://www.bc.edu/libraries/help/howdoi/howto/glossary.html>.

3

Educating Archivists and Librarians

Archivists Talks About their Archival Education

Question: How did you learn to be an archivist?

I have a [bachelor's degree] in history. I finished a PhD in history. In 1977 I went to the National Archives Institute, went to MARAC [Mid-Atlantic Regional Archives Conference] [and] had a meeting on how to be an archivist. I learned by doing. — Academic Archivist

[An] archival professor recruited me to the archives track at [a graduate school of library and information science], which I began in 1998 and finished in 2000. I also have a master's [degree] in art history. — Academic Archivist

I was not trained as an archivist. . . . I had been working as a librarian for about 20 years. When they first started to plan for this building, they created a small committee of three librarians who met to talk about how to create this [local history] department. . . . When the job came open I applied for it . . . recognizing that I needed training. . . . I became aware of the Modern Archives Institute and they sent me . . . the first year our department was up and running, and it was perfect timing. That was one of the most exciting two weeks of my life.

— Archivist, Local History Collection

Although a master's degree from a school of information/library science is currently the most common credential for entering the archives profession, there are still many ways to become an archivist. As the interview comments indicate, the profession is not completely dependent on one educational path and this differs, in most cases, from those who choose to become librarians. Regardless of how he or she got there, each of the interviewees identified himself or herself as a professional archivist.

Archival work and librarianship were not always considered professions. The story of their educational evolutions is best understood within the context of professionalism itself, the nature of a profession and the acquisition of a professional identity. This chapter begins with a discussion of professionalism as background to understanding the development of professional education for archivists and librarians.

WHAT IS A PROFESSIONAL?

While the professional identity of a group may be expressed through the mission and values of an organization, the professional identity of an individual is found in his or her particular expertise and competencies. The definition of a "profession" encompasses a wide range of characteristics, protocols, standards, and specialized knowledge. Scholars of professionalism, however, generally agree that "the hallmark of a profession is the belief that it is an occupation of considerable public importance, the practice of which requires highly specialized even esoteric knowledge that can be acquired only by specialized formal training or a carefully supervised apprenticeship."¹

As explored in Chapter 2, professionalism generally brings with it a specialized vocabulary, and "the professional language and literature of a disciplinary group plays a key role in establishing its cultural identity. This is clearly so when they embody a particular symbolism of their own . . . or a significant number of specialized terms."² Professionalism also produces a type of occupational elitism. If a professional is an individual who meets the specific set of criteria required by the profession, then, by definition, people who do not meet those criteria are excluded. While the components of professionalism create a sense of identity and community, they also create an exclusiveness that bars participation.

Classical theories of professions developed by sociologists have identified those components and competencies that support distinct areas of work. These include specialized knowledge and systematic theory, identification with a group, professional culture and ethos, and self-monitoring.³ One sociologist, for example, argues that "the professionalization process binds together two elements . . . a body of relatively abstract knowledge, susceptible of practical application, and a market."⁴ Another further divides this body of knowledge into practical knowledge, or knowledge in use, and an abstract, formal knowledge system.⁵ Both connect the evolution of a profession with the development of a core theoretical and practical knowledge base, one that is officially recognized and that is central to an education program. The acquisition of a well-articulated knowledge base is therefore widely viewed as an essential component of professionalization, and development of that knowledge base is one of the distinguishing features of a profession.

Early steps in the evolution of a profession generally begin with concerns about the growth of professional education. Melvil Dewey's establishment of the School of Library Economy at Columbia University in 1887 is an example of an approach to professionalism in which the "occupational control of work" is one of the major elements, and which uses "an officially recognized body of knowledge

and skill based on abstract concepts and theories.”⁶ The foundations of both the library and archival professions in the United States follow this pattern.

PROFESSIONAL EDUCATION: LIBRARIES AND ARCHIVES

The education of professional librarians and archivists in the United States has followed different trajectories to arrive at a similar path. Today, schools of library and information science are the primary venues for the education of both archivists and librarians, but a mere half century ago archival education was mainly taught in the history departments of large universities.⁷ Robert Warner counseled in 1986, “the challenge of the future will not be to particularize and specialize the various segments of the information continuum and call attention to their differences, but instead to see how they can be theoretically and practically brought together and how much they interrelate. . . . In the final analysis, I believe that it is in the area of education where archivists and librarians will finally come together.”⁸ That vision is being realized today.

Both professions began as apprenticeship training programs for individuals with scholarly backgrounds. In the United States, before the advent of formal library education in the late nineteenth century, simply being “well read,” or being an amateur historian might be sufficient qualification to work as a librarian or archivist and learn on the job. This early role of “on the job training,” however, not only delayed the necessity of academic education but also set the stage for one of the most persistent educational issues in both professions: practice versus theory.

From the early days of formalized education, discussions about the kind of education that librarians and archivists needed split sharply between practice and theory. Achieving the proper balance between classroom instruction and experiential learning was a key issue in Melvil Dewey’s initial education recommendations for library education in the 1880s and a matter of continuing debate by the Society of American Archivists as they set standards for archival education in the mid-twentieth century.⁹ This issue continues to be debated in library schools, where the roles of internships and practicums versus theoretical coursework are still moving targets, and the larger issues of balancing theory with practice persevere as sources of conflict within each profession.

As in all aspects of the development of these two professions in the United States, the need for library education became apparent at least a century before archival education appeared on the horizon. Starting from different though related directions, these two educational streams are increasingly joined on the same path today. For that reason, as well as for the increasing movement of librarians into the archival sphere, it is worth reviewing briefly the educational history of both to better understand the bonds between them. The following sections briefly outline the development of library education in the United States but linger longer and offer more detail on that of the education of archivists, not only because archivists are the primary focus of this book, but also because theirs has been the more complex and less well-known educational path. Understanding the educational development of librarians and archivists is also a key to recognizing why librarianship has been for many decades firmly established as a profession, while archival science is still finding its professional feet.

Library Education

The need for “trained” librarians in the many colleges and universities that opened in the nineteenth century, combined with the public library movement in the 1880s, provided the impetus for the founding of the School of Library Economy at Columbia University. Before that time, persons wishing to be librarians apprenticed in a library and received some in-service training once they were employed. Melvil Dewey himself had “vacillated between the trade and professional concepts in his writings.” Finally in 1883, he declared his views that “librarianship had indeed become a profession.”¹⁰

Nonetheless, library education continued on more or less practical lines until the issuance of the Williamson reports in 1921 and 1923. These reports, resulting from a Carnegie-commissioned survey of library schools, arose out of concern for uniformity and standards. The Williamson reports were significant markers in the development of library education and established a number of principles still in effect today. Reforms resulting from the reports included separating library functions more clearly into clerical and professional activities; establishing graduate library schools for advanced library studies with the idea that professional leadership would come from these schools; requiring bachelor’s degrees, preferably in broad liberal arts, as admission criteria; and affiliating professional library schools with degree-granting institutions. The American Library Association (ALA) established a Board of Education for Librarianship. Among its most important and far-reaching recommendations, ALA accepted responsibility for accrediting library schools through that board.¹¹

As library schools moved into the mid-twentieth century, the accrediting role of ALA was key to setting the standards for library education. Theory-based education gradually replaced a more vocational approach, an effort primarily driven by the founding of the library school at the University of Chicago in 1926. In 1933, the standards for accreditation were revised by ALA, establishing three different types of library programs, described here by Anthony M. Wilson and Robert Hermanson:

Type one was composed of university programs, which would lead to master’s degrees or higher, and where the master’s degree would include two years beyond a four-year bachelor’s degree. Type two was a program leading to a bachelor of library science degree, normally a one-year program for students who had already completed a liberal arts bachelor degree. Type three was for undergraduate programs as part of an undergraduate curriculum which also led to a bachelor’s degree. The strong role of both academia and the profession in the schooling of librarians was now established.¹²

By the 1950s, inspired by the development of the successful graduate program at Chicago, ALA had abandoned its three levels of schooling in favor of the master’s degree as the professional requirement. They issued a new set of accreditation standards in 1951, focusing on a basic, pre-professional education curriculum. As Robert Martin, in his study of the development of library education, writes:

In the 1940s a series of conferences focusing on key issues in library education set the stage for the eventual adoption of the 1951 Standards of Accreditation, which firmly established library education at the graduate level and set the master’s degree as the basic professional credential. Schools that did not require a college degree for admission disappeared, and undergraduate programs in library science survived only in the context of teacher education.¹³

Continuing developments in information technology in the latter part of the twentieth century led to the establishment of schools of information science as well as a plethora of degrees within those schools. The most recent development, beginning in the early 2000s, is the iSchool movement dedicated to promoting the relationships between information and technology. More than fifty former

library schools (both in the United States and internationally) have joined the iSchool movement,¹⁴ and this in turn has influenced the direction of library school education, focusing it increasingly on information science. As the iSchool website explains:

Information Schools (“iSchools”) address the relationship between information, technology, and people. This is characterized by a commitment to learning and understanding the role of information in human endeavors. The iSchools take it as given that expertise in all forms of information is required for progress in science, business, education, and culture. This expertise must include understanding of the uses and users of information, as well as information technologies and their applications.¹⁵

With more than forty ALA accredited programs (about twenty-five of which are iSchools) in the United States offering a variety of courses and degrees in all aspects of library and information science, at least half offer some type of archival program, be it a concentration, track, program, or single course.¹⁶ Archival education, however, did not begin in a library school.

Archival Education

When the National Archives opened its doors in 1934, a problem became apparent immediately. After many years of struggle and determination on the part of a small but dedicated group of historians, the federal government finally had a central archives, but it had no archivists. In the words of historian H. G. Jones, “now, suddenly, there was a great National agency to be staffed, but not a single institution in the United States offered archival training.”¹⁷ Many of the same historians who had lobbied so hard for a National Archives now set about populating that building with trained archivists. To do so, they not only had to create educational programs and opportunities; they had to define what archival education was and imagine what it might become. Working through the new organization they established in 1936, the Society of American Archivists (SAA), these historians recognized early on that while a broad and deep familiarity with history was essential to understanding archival materials, preparing people to be archivists required teaching specialized knowledge beyond a history degree. They also understood that for archival work to be authoritative within a milieu that was both scholarly and skill-based, it was essential that the practical components rest on a strong theoretical and academic foundation.

SAA was founded in 1936 and made one of its first official acts the formation of a Committee on the Training of Archivists. Such was the urgency that the committee was contemplated even before SAA came into existence.¹⁸ SAA—similar to ALA—has been central to setting the standards and monitoring the progress of archival education.

Before 1936, archivists in the United States were primarily individuals with history degrees who learned to become archivists by apprenticing in an archives or in a historical society. Collections acquired by public and private historical societies in the late eighteenth and early nineteenth centuries were initially acquired, cared for, and maintained by scholars with historical interests and in accordance with a well-established manuscript tradition.¹⁹ By the late nineteenth century, professional historians with archival interests and those working with public records in state archives had formed a separate committee within the American Historical Association (AHA). At the first Conference of Archivists in 1909, historian Waldo Gifford Leland called for a distinct “archival” education, observing that “we must disabuse ourselves of the idea that anyone can be an archivist.”²⁰

At that time, Leland pointed out that even though there might be an evolutionary parallel between librarians and archivists, it was essential that archivists have a background in history, thus setting the stage for a question that was debated throughout the twentieth century: Where is the best home for an archival education program, a history department or a library school?

In 1939, the SAA Committee on the Training of Archivists, chaired by historian Samuel Flagg Bemis, produced a report that considered what kind of training an archivist might need and how it would be acquired. Not surprisingly, the Bemis Report emphasized the primacy of historical training, recommending two classes of archivists: one with a higher-level PhD in history and one with a lower-level master's degree in history. With the priority on historical training, he rejected library science as a suitable educational venue (though conceding that one library course might be useful).²¹

Bemis's emphasis on history persisted over the next several decades, but others advocated the position that archivists should obtain graduate degrees in library schools. Theodore Schellenberg, the major theoretical voice of the National Archives and author of the basic text on American archival practice, was one of the most forceful proponents of this view. He saw the librarian's emphasis on methodology as a great advantage to archivists and also considered libraries to be one of the primary repositories for archival material. Writing in 1968, he observed that "the library and archival professions are not inseparable. While the principles and techniques of the two professions are distinctive, they are also in a sense complementary."²²

Although Bemis's recommendation for a two-tiered archival education program was never implemented, his report—similar to the Williamson reports for librarians—was significant for the development of archival education because it "defined officially, in the early years of the professional organization, the general concept of the archivist and his educational foundation."²³

In 1938, Solon J. Buck, a member of the history department of Columbia University, taught the first archival education course, "Archives and Historical Manuscripts." It was short-lived when Buck left for Washington, D.C., in 1939 to become Archivist of the United States. This course was followed by a successful series of courses on archival administration organized by Buck in the School of Social Sciences and Public Affairs at American University and taught by historian Ernst Posner.²⁴ Beginning with one course, "History and Administration of Archives," Posner developed the program over the following two decades, adding courses on such topics as comparative archival history, administrative history of the federal government, and administration of current government records.²⁵ After Posner retired in 1961, the courses continued to be offered for a time, and although other schools began offering one or two archival education courses in the 1960s, the American University curriculum remained the most complete and progressive program until other institutions began developing more comprehensive curricula in the late 1970s.

Practical experience, expressed through some type of internship or in-service training, was a constant in the few graduate archival education programs that developed during the 1950s and 1960s.²⁶ As in library schools, the debate between classroom education and practical training continued. Archivists were reluctant to discard the old model of the apprenticeship tradition but at the same time saw the value of a broader academic training process. Beginning with the Bemis report, SAA members made it clear that experience plus individual study was also a highly valued path to entering the archives profession. Describing the initial archives courses at American University, Solon Buck pointed out that "while experience alone cannot make one a professional archivist any more than could experience in the practice of medicine without theoretical training qualify one to be a physician,

nevertheless, experience coupled with extensive and intensive individual study might give one the equivalent of such training.”²⁷

Just as ALA continued to monitor the progress of library education through a series of reports and surveys, SAA monitored the progress of archival education. In 1970, responding to a growing economy and an increasing number of archival jobs, SAA commissioned a survey on archival education carried out by the Committee on Education and Training. They identified a total of seven single courses and eight programs of two or more courses in either history departments or library schools. These courses, generally taught by people with history backgrounds, were primarily introductory courses and courses emphasizing “hands-on” work.

At the same time, SAA’s Committee on the Seventies prepared a set of recommendations about education and training. These recommendations essentially endorsed the existing programs, placed archival education as a specialization within existing graduate history programs, and concluded not only that the field of archives did not “constitute a sufficient intellectual discipline to merit a separate degree program” but also that “because of the nature of the materials with which the archivist deals and because of the nature of his responsibilities with regard to these materials, the training necessary for an archivist should be firmly rooted in experience.”²⁸ They suggested that, “teachers should be experienced archivists and that an internship should be a part of all programs.”²⁹

Over the following years, the education recommendations of the Committee on the Seventies were refined by the Committee on Education and Professional Development (heir to the original Committee on the Training of Archivists). In 1977, this committee issued the first set of formal “Guidelines for Graduate Archival Education Programs.” These guidelines reaffirmed the status quo, advocating a three-course sequence consisting of a basic course on archival theory, a practicum, and an independent study. Many members of the education committee considered the practicum as the center of these recommendations, and the three-course sequence became the foundation of new archival education programs as they began to develop during the 1980s both in history departments and in schools of library and information science.³⁰ Unlike ALA, however, SAA did not accredit programs and does not do so today.³¹

By 1988, however, the need for more rigorous standards and a growing shift in perceptions of archival education led to the publication of a new set of guidelines. The three-course sequence was endorsed but this time as a minimum core requirement. The guidelines called for full-time faculty as well as the infrastructure to sustain a graduate program. Most notably, the guidelines stated that “the work of an archivist represents that of a profession, not a craft or applied vocation. This is not only just as important as practice, but guides and determines that practice.”³²

By the late 1990s, public history programs in history departments, which had become the primary consumers of archival courses, began to decline from their peak in the 1980s. Fewer archival courses appeared in history department curricula.³³ At the same time, there was a distinct shift and an emerging strength in archives and records programs in library and information science schools.³⁴

In its 1994 “Guidelines for the Development of a Curriculum for a Master of Archival Studies,” SAA, in addition to replacing the three-course sequence with a full-fledged archival education program, also placed internships firmly within an academic curriculum, noting that “in the context of archival education, practical experience is not an exercise to discover theory and methods empirically; rather it is an opportunity for students to verify their understanding of archival principles by applying them in real-life situations.”³⁵ The 2002 Guidelines dropped the master of archival studies degree recommendation, renaming them “Guidelines for a Graduate Program in Archival Studies” and dividing

archival knowledge into core knowledge and complementary or interdisciplinary knowledge. The most recent guidelines (2011) continue this trend and, responding to the actual course offerings currently available for archives students in schools of library and information science, have added significant sections on electronic records management, digital preservation, and digital curation.³⁶

SAA's 2004 "A*CENSUS Survey" identified notable shifts in the trajectory of archival education. By the 1990s, not only had the master's degree become the desired terminal degree for entry into the profession, but that degree was most likely to be from a school of library and information science.³⁷ The writers of the A*CENSUS report found that "as graduate education becomes a hallmark of the professionalization of the archival endeavor, the profession will have to determine its own role in setting educational standards and decide whether or not it needs to strive for consistency between programs."³⁸ The report included an acknowledgment that archival education was in a transition period, finding that "although the consensus for graduate archival education is growing steadily, the majority of persons currently working as archivists received their archival training in other ways."³⁹

By the early 2000s, the number of full-time archives faculty in library and information schools had grown. As the archival knowledge base expanded, as the archival profession in the United States established a clearly defined identity, and as doctoral programs in archives began to develop, the need to find a forum for dialogue, a gathering place where both faculty members and doctoral students could debate and share research and educational growth, became acute. In addition, while the older generations of educators had (often) single-handedly and single-mindedly carved out archival specializations in their respective universities, the new generation, now facing a more complex set of expectations that included a spectrum of teaching competencies and an emphasis on research, needed guidance and mentoring.

In 2008, concerned that the increasing demand for graduate archival education programs had outstripped the available faculty, educators from eight archives' doctoral programs collaborated on a federal grant submitted by the University of California at Los Angeles and the University of Michigan to the Institute of Museum and Library Services for funding to provide scholarships for doctoral students to attend any of the eight programs. The grant also supported four summer institutes hosted by the partner institutions that would bring educators and doctoral students together for a week of workshops, presentations, mentoring, and discussions. The mission of the Archival Education and Research Institutes (AERI) is to "nurture and promote the state-of-the-art in scholarship in Archival Studies, broadly conceived, as well as to encourage curricular and pedagogical innovation in archival education across the United States and worldwide."⁴⁰ Typically attracting more than eighty doctoral students and educators both nationally and internationally to its yearly institutes, AERI is further redefining archival education by encouraging and supporting cohorts of faculty researchers and educators.

THE FUTURE OF LIBRARY AND ARCHIVES EDUCATION

Beginning from very different roots, archival education and library education have ended up in similar places—both literally and figuratively. Not only do most would-be librarians and archivists go to the same graduate schools, they also share many courses. Although students may follow distinctive archives and library tracks, the core curriculum of the schools, particularly through "foundations" courses, ensure that many library students will inevitably learn something about archives and archives students will learn about libraries.

In his 1968 reflections on archival education in library schools, Theodore Schellenberg presciently concluded that, “the two professions should thus collaborate with each other—in the administration of their holdings, in the development of their methodology and in the provision of training facilities. Neither profession should regard the training provided by the other as an abrogation of its own responsibilities.”⁴¹ Today, archival education is expanding in schools of library and information science. Of the archival education programs currently listed in the SAA’s “Directory of Archival Education,” six are in history programs while the others are in schools of library or information science.⁴²

At the same time, old attitudes die hard, and the split between practitioners and theorists, so prominent in the early development of library and archival education, remains. As sociologist Eliot Freidson observes:

They [educators] teach the received body of knowledge and skill to practitioners and also lay down the standards by which practitioners can be authoritatively judged. The standards they promulgate are likely to be different from those of practitioners, who are compromised by the need to satisfy consumers and work within fluctuating, practical limits of time and space. . . . Indeed, practitioners are likely to consider academic or scientific standards to be hopelessly and unfairly impractical, and resent those who formulate and promulgate them. Professional schooling thus creates a very sharp and problematic division between academic authorities and practitioners.⁴³

As library schools evolve into iSchools and as archival tracks and concentrations continue to strengthen, a convergence of skills is inevitable with graduates who understand both archival and library principles. An example is the emerging specialization of digital curation, which combines the knowledge of archivists, librarians, and preservationists with technology to educate a new generation of specialists focusing on the challenges of preserving all types of information in digital environments. Increasingly, archivists have library responsibilities and librarians have archival responsibilities.

A 2012 research article comparing the responsibilities of librarians and archivists in academic libraries found an increasing sharing and cross-over of tasks, although not always to the benefit of either the institutions or individuals. While a conceptual dual archivist/librarian may seem ideal, the researchers found that “having both library and archival responsibilities results in a balancing act that is difficult to maintain . . . the challenges rival the benefits . . . survey respondents voiced concerns about performing all of their work competently. . . . Professional effectiveness across a broad spectrum of duties is called into question, and this will almost certainly have an effect on the fulfillment of institutional missions.”⁴⁴ Regardless of the challenges of finding the balance, however, the fact that this is being attempted at all is thought provoking. The education of both archivists and librarians is resulting in separate but related professionals who, while not ceding their distinct identities, are perhaps growing closer together.

NOTES

- ¹ Richard A. Posner, "Professionalisms," *Arizona Law Review* 40, no. 1 (1998): 2.
- ² Tony Becher and Paul R. Trowler, *Academic Tribes and Territories: Intellectual Enquiry and the Culture of Disciplines* (Philadelphia: Society for Research into Higher Education and Open University Press, 2001), 46.
- ³ The ways in which the archives profession relates to these elements was examined by Richard J. Cox in "Professionalism and Archivists in the United States," *American Archivist* 49 (Summer 1986): 229–247.
- ⁴ Magali Sarfatti Larson, *The Rise of Professionalism: A Sociological Analysis* (Berkeley: University of California Press, 1977), 40.
- ⁵ Andrew Abbott, *The System of Professions: An Essay on the Division of Expert Labor* (Chicago: University of Chicago Press, 1988).
- ⁶ Eliot Freidson, *Professionalism, The Third Logic: On the Practice of Knowledge* (Chicago: University of Chicago Press, 2001), 179–180.
- ⁷ There is a considerable body of literature on the development of archival education in the United States. See, for example, Richard J. Cox et al., "Archival Education in North American Library and Information Science Schools," *Library Quarterly* 71, no. 2 (April 2001): 141–194; Elizabeth Yakel and Jeannette A. Bastian, "A*Census: Report on Graduate Archival Education," *American Archivist* 69 (Fall/Winter 2006): 349–366; Donghee Sinn, "Collaborative Education between Classroom and Workplace for Archival Arrangement and Description: Aiming for Sustainable Professional Education," *American Archivist* 76 (April 2013): 237–262; and Robert S. Martin, "The Development of Professional Education for Librarians and Archivists in the United States," *American Archivist* 57 (Summer 1994): 544–558.
- ⁸ Robert M. Warner, "Librarians and Archivists: Organizational Agenda for the Future," in *Archives and Library Administration: Divergent Traditions and Common Concerns*, ed. Lawrence J. McCrank (New York: Haworth Press, 1986), 174.
- ⁹ Martin, "Development of Professional Education," 548–549; Jeannette A. Bastian and Elizabeth Yakel, "Towards the Development of an Archival Core Curriculum: The United States and Canada," *Archival Science* 6, no. 2 (June 2006): 133–150.
- ¹⁰ Anthony M. Wilson and Robert Hermanson, "Educating and Training Library Practitioners: A Comparative History with Trends and Recommendations," *Library Trends* 46, no. 3 (Winter 1998): 468.
- ¹¹ *Ibid.*, 470.
- ¹² *Ibid.*, 471.
- ¹³ Martin, "Development of Professional Education," 551.
- ¹⁴ For a current list of iSchools, see <http://ischools.org/>.
- ¹⁵ Ronald L. Larsen, "History of the iSchools," iSchools, 2008, <http://ischools.org/about/history/>.
- ¹⁶ Jeannette Bastian and Elizabeth Yakel, "'Are We There Yet?': Professionalism and Development of an Archival Core Curriculum in the United States," *Journal of Education for Library and Information Science* 46, no. 2 (Spring 2005): 95–114.
- ¹⁷ H. G. Jones, "Archival Training in American Universities, 1938–68," *American Archivist* 31 (April 1968): 136.
- ¹⁸ Samuel Flagg Bemis, "The Training of Archivists in the United States," *American Archivist* 2 (July 1939): 154–161.
- ¹⁹ As briefly described in Chapter 1, the preserving of nonpublic historical materials characterized early records practices in the United States. See Frank G. Burke, *Research and the Manuscript Tradition* (New York: Scarecrow Press, 1997) for an in-depth discussion of this tradition.
- ²⁰ Waldo Gifford Leland, *Annual Report of the American Historical Association for the Year 1909* (Washington, DC: U.S. Government Printing Office, 1911), 358.
- ²¹ Bemis, 157.
- ²² T. R. Schellenberg, "Archival Training in Library Schools," *American Archivist* 31 (April 1968): 165.
- ²³ Jones, "Archival Training," 137.
- ²⁴ Dr. Ernst Posner became a lecturer and adjunct professor at American University in 1939. He retired in 1961. See Rodney A. Ross, "Ernst Posner: The Bridge Between the Old World and the New," *American Archivist* 44 (Fall 1981): 304–313.
- ²⁵ Jones, "Archival Training," 141–142.
- ²⁶ By 1968 there were only eight universities offering courses in archives. See Frederic Miller, "The SAA as Sisyphus, Education Since the 1960s," *American Archivist* 63 (Fall/Winter 2000): 224–236.
- ²⁷ Solon J. Buck, "The Training of American Archivists," *American Archivist* 4 (April 1941): 89.
- ²⁸ Quoted in Luciana Duranti, "The Society of American Archivists and Graduate Archival Education: A Sneak Preview of Future Directions," *American Archivist* 63 (Fall/Winter 2000): 238.
- ²⁹ Miller, "SAA as Sisyphus," 228.
- ³⁰ *Ibid.*, 229.

- ³¹ SAA has investigated the possibilities of accrediting archival education programs at various points in its history. In 2009, the most recent SAA-appointed taskforce recommended against accreditation, concluding that the cost was prohibitive and the current educational environment not conducive to an accreditation program. Society of American Archivists, Committee on Education, "Final Report on Accreditation Project," May 31–June 2, 2009, http://www2.archivists.org/sites/all/files/EdCommittee%20Accreditation%20Report_Final.pdf.
- ³² Duranti, "Society of American Archivists and Graduate Archival Education," 239.
- ³³ However, there are still several strong archival education programs in history departments, notably at New York University and Western Washington University.
- ³⁴ Cox et al., "Archival Education in North American Library and Information Science Schools," 145.
- ³⁵ Society of American Archivists, "Guidelines for a Curriculum for a Master of Archival Studies Degree (MAS)," 1994.
- ³⁶ The most recent SAA Guidelines can be found on the SAA website at <http://www2.archivists.org/gpas/curriculum>.
- ³⁷ Yakel and Bastian, "A*Census," 349.
- ³⁸ Ibid., 365.
- ³⁹ Ibid.
- ⁴⁰ The AERI website is at <http://aeri.gseis.ucla.edu/>.
- ⁴¹ Schellenberg, "Archival Training," 165.
- ⁴² Society of American Archivists, "Directory of Archival Education," <http://www2.archivists.org/dae>.
- ⁴³ Eliot Freidson, "Theory of Professionalism: Method and Substance," *International Sociology Review* 9, no. 1 (1999): 122.
- ⁴⁴ Mary Manning and Judy Silva, "Dual Archivist/Librarians: Balancing the Benefits and Challenges of Diverse Responsibilities," *College and Research Libraries* 73 (March 2012): 175.

Part II



Considering *the* Work

4

What Archivists Do, Part I: Collecting, Records Management, and Appraisal

*The work of the archivist is related to, but distinct from, that of certain other professionals. The librarian and the archivist, for example, both collect, preserve, and make accessible materials for research; but significant differences exist in the way these materials are arranged, described, and used.*¹

Collecting, acquiring, organizing, accessioning, and providing access to materials are shared fundamental activities of both the library and archives professions—but how these activities are carried out by each profession differs significantly. The differences stem as much from the nature and content of the materials as from the workflow, amounts of time, and resources required to complete the tasks. Chapters 4 and 5 will examine each task in some detail with the goal of helping librarians understand what archivists do and why they do it.

What do archivists do on a day-to-day basis?

- They *acquire collections*, in all formats, of institutional records and personal papers either by the transfer of records in accordance with *collecting policies* and (for institutional records) *records management schedules*, or by donation or purchase
- They *appraise* collections and institutional records for their long-term value to the institution and researchers, determining whether or not to retain those records as part of the permanent collection
- They *process collections*—a multifaceted operation that can include several steps: *accessioning*, *surveying*, *preparing a processing plan*, *preserving*, *arranging*, and *describing*
- They create *access* to collections through tools such as *finding aids* and through transformative efforts such as *digitization* and *online exhibits*

- They provide *reference and outreach* services, including instruction in the use of primary sources
- They assess collections for possible *digitization* projects to meet *preservation* as well as *access goals*
- They *add value* to the missions of parent institutions by extending research capacity to include access to primary materials and cultural resources and by managing, preserving, and advocating for the historical records of the institution and the community

Archivists accomplish all of these activities in accordance with accepted archival standards and best practices developed both through the Society of American Archivists (SAA) and the International Council on Archives (ICA).² In addition, many standards developed by the American Library Association (ALA)³ and ARMA International (formerly the Association of Records Managers) align with archival practice.⁴

This chapter focuses on acquiring and appraising materials, including the role of records management. Chapter 5 will explain how archivists manage and provide physical and digital access to materials.

ACQUIRING COLLECTIONS

Like librarians, archivists acquire materials according to collection development policies. Archives in academic or public libraries generally have their own distinct collecting policies, not only because the materials they collect differ from that of the library but because how materials are collected differs as well.

What They Collect: Academic Archives

For academic archives, the institutional records of the college or university form the core of their collections. This core group of records is often supplemented by materials generated by alumni, faculty members, students, and related organizations; while these become part of the collection, they are not always considered to be part of the official organizational records of the institution. Personal faculty and alumni collections, as well as collections of external but related organizations, are generally donated by the record creators or their heirs.

As discussed in Chapter 1, university and college archives units often include or alternatively may be part of special collections units consisting of material not created at or related to the institution. Though often sharing the same facility, special collections are kept separately from the institutional records. Special collections tend to be deliberately acquired—either by donation or purchase—by the institution to support the curriculum, to support faculty research, or as a commitment to local and regional history. Because these special collections materials may include rare books, maps, manuscripts, artifacts, audio-visual items, and other unique materials in a variety of formats and conditions, like archives, they may require special preservation or conservation resources.

Table 5 includes a broad list of materials collected by academic libraries and by academic/institutional archives.

Table 5. Materials Collected by Academic Libraries and Academic Archives

Academic Libraries	Academic Archives
Monographs	Official records, personal faculty or alumni papers
Serials	Publications of the university/college, publications of faculty members and selected alumni, or those related to local history
Published or broadly available audio-visual materials	Unique audio-visual materials related to the activities of the institution
Published or broadly available online and electronic resources	Unique electronic materials from the institutional web including institutional or faculty websites
Materials in any format that support curriculum and instruction	Records and papers that are neither official university records nor faculty papers but which relate to or expand the history of the institution
Rare books or other noninstitutional special collections, including research data, in any format, that support research	Institutional research data and related research records that reflect institutional research activity

Not all academic archives collect exactly the same types of materials. The size and age of the institution; the number of faculty members, students, and alumni; the range of the curriculum; and the relationship of the archives to the special collections may all be factors in determining the collecting policy.

Archivists Talk About Collecting

Question: What do you collect? Is it just university records or does it also include manuscript materials, personal collections?

[It's] largely administrative records. We do collect faculty papers. Here as at most universities, faculty members' papers are considered to be their property and so they can do whatever they want do with them. . . . We tend not to collect alumni materials. Occasionally we will make exceptions, but in large schools like this . . . it's a pretty slippery slope if you start collecting alumni things. Special collections and archives here are two separate units. So special collections is a separate unit in the library and the archives is a separate unit. But we do [collect] faculty papers and we encourage [faculty] to at least talk to us about [their] papers.

— Academic Archivist

We collect, obviously university archives . . . materials related to the history of the university . . . publications, like student newspapers, yearbooks, and [publications] like that. We also collect departmental records, organizational records, club records and committee records. We also collect all faculty publications and alumni publications. . . . We have a local history component for the special collections and our university archivist is also our local history subject librarian. And so we collect materials related to regional history . . . we're talking about books . . . and we have collections of materials related to local history. We have collected papers of the business of professional women's groups in the local areas.

— Academic Archivist

What They Collect: Local History Collections

Local history collections often supplement the circulating collections at public libraries, adding a local dimension to the overall library collection. Materials can be acquired by purchase, donation, or at times and in conjunction with the town/city, through records transfer. Materials, in any format, can include:

- Published histories and reference materials related to the town/city (books, pamphlets, etc.)
- Local genealogical materials
- Audio-visual materials
- Maps
- Town/city publications
- Official town/city records

Archivists Talk About Collecting

Question: Do you collect town materials or any kind of public records at all?

We collect manuscripts. We definitely collect records, photographs, maps, periodicals and town publications. I also collect somewhat informally school materials. Basically I will tell people that I will take anything that they have before 1920. I have some audio tapes; I have some video tapes that have been transferred from film. I have a lot of artifacts. I have a good number of books, many are secondary sources related to New England in general. It's a good mix of materials here. It's really rich.

— Archivist, Local History Collection

Yes. For some things we're not the official repository. The town clerk is the official repository of the town publications and specifically for the board of selectmen. But because we're open in the evening and on Saturdays, it's often more convenient for people to come here and see things. A very popular collection that I have here is annual reports. We also have a good amount of nineteenth-century and some eighteenth-century town records that were pulled out of the old town hall, after the town offices moved to a new building.

— Archivist, Local History Collection

[There are] . . . a variety of different resources that we collect and provide. At the very first level, we have reference books that have to do with the history of [our city]. We also are the only public repository for [our city's] publications. [We] have a lot of the annual reports, city directories, and publications that come out, any environmental reports. . . . We also collect personal papers and papers of activists, organizations, community organizations, and community leaders.

— Archivist, Local History Collection

How Materials Are Acquired: Academic/Public Libraries and Archives/Local History Collections

The manner in which materials are acquired is one of the distinct differences between libraries and archives whether they are located in an academic institution or a public library. The main difference is that purchasing materials is much less a factor in academic archives while it is often the major

source of acquisitions in a library. Licensing resources is rare or nonexistent for both archives and local history collections as noted in Table 6.

Table 6. How Materials Are Acquired: Academic/Public Libraries and Archives/Local History Collections

Academic / Public Libraries	Academic Archives / Local History Collections
Purchase materials in all formats	Transfer material based on records management schedules or best practices Make the occasional purchase of materials in all formats
Accept occasional gifts (handling left to discretion of library director)	Regularly accept donations of collections (for archives and personal papers in particular, a legal process involving a donor agreement/deed of gift addressing physical and often intellectual property)
Provide links to both vendor-supported and open access materials	Harvest electronic materials from websites, e-mail, databases, and so on, or develop tools to provide specialized access to institutional records systems

MANAGING RECORDS AND COLLECTING THROUGH RECORDS TRANSFERS



VIGNETTE: WHY AN INSTITUTION NEEDS A RECORDS MANAGEMENT PROGRAM

As part of Greenwood College’s recent centennial, the college’s library started an archives to permanently house the many records, artifacts, and memorabilia that they were accumulating for the event. Although the celebration had concluded, administrators and faculty members who worked to help the new archives document the founding of the college were still identifying additional, potentially historic records stored in drawers, cabinets, closets, and a basement storage area and were calling on the archives to either take them or provide advice on how to handle these materials.

As the archivist examined the records in offices and in the increasing number of boxes showing up at her door, she found duplication and disorder throughout. She also found materials that revealed personal information about students and staff. While less than 10 percent of the records created at Greenwood might have permanent value, it was clear that much of the remaining 90 percent was arriving at the archives. At the same time, much of the precious 10 percent that documented important decisions and processes from major offices had not yet been found. Offices and departments were equally concerned about their electronic records, and the archivist, when called to look at those files, found a similar level of duplication and disorder and concerns about access to personal information.

The need for clear guidelines on what to keep and what to throw away, what to preserve or delete, and when to transfer permanent records to the archives or destroy unwanted

records was apparent. Furthermore, guidance for file management for both paper and electronic records was critical so that administrators could find the records needed to do their current business.

When the archivist was first hired, she and the library director discussed the need for a records management program down the road, but they had arrived there much sooner than anticipated. They agreed to collaborate on a proposal asking the administration in the president's office to establish a records management program that addressed both paper and electronic records with policies that enabled the archivist to recommend and manage records schedules.



In addition to caring for and preserving noncurrent institutional records, academic archivists are also increasingly responsible for providing records management services for the institution's current records. Records management—an essential function closely related to archives (and often the least understood of all records activities)—is the management and disposition of an organization's current records in all formats. Records management involves “the systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition.”⁵

Approached together, complementary records management and archival practices facilitate the development of comprehensive recordkeeping practices and ensure that a complete historical record of the institution is created and maintained. In corporate environments, records management is often considered a function separate from maintaining an archives. In academic institutions, records management often falls within the purview of the archives because much value is placed on the potential scholarly and teaching uses of primary sources—such as institutional records and personal papers—and thus there is equal interest in records management activity focusing both on compliance and the long-term historical record.

In practice, institutional archivists, working with offices and departments, assist and advise them on the best ways to keep and organize their current records. To benefit both the offices and the archives, they also create records schedules for the disposition of noncurrent records in accordance with institutional policy. They ensure that the schedules are followed, oversee the transfer of the records to temporary storage at the appropriate times, and arrange for the final disposition of records, including the transfer of permanent records to the archives. Academic archives in public institutions are often required to work within guidelines established by their state and in conjunction with the state archives.

In the evolving electronic records environment, the role of the academic archivist becomes even more complex. On the one hand, the archives is just one department among many with records management duties and partners with other units in the institution to constitute a more holistic approach to information governance. On the other hand, as described later in this chapter, the archivist must ensure consistency, compliance, and quality control in the records practices of all the units especially if it is to acquire the permanent records it needs.

In a public library context, if a local history collection is authorized to acquire official town/city records, the local history archivist does so in compliance with established records management

schedules and policies. Town and city records schedules and policies are generally established by the state. State laws generally establish a process to determine the terms of retention and final disposition. The process of records creation, use, and disposition is called the *records life cycle* and consists of a path from records creation to either permanent retention in the archives or destruction (Figure 3).

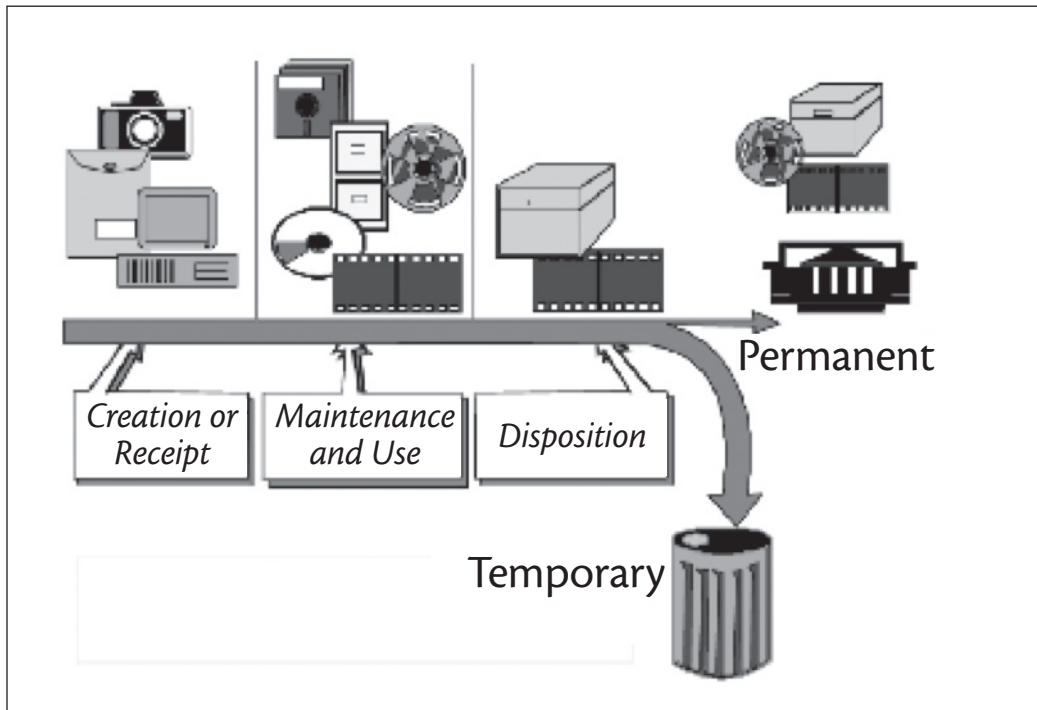


Figure 3. Records Life Cycle

Source: National Archives and Records Administration, Office of Management and Budget, *Federal Enterprise Architecture Records and Management Profile*, Version 1.0 (Washington, DC: National Archives and Records Administration, Office of Management and Budget, 2005), 8, <http://www.archives.gov/records-mgmt/pdf/rm-profile.pdf>.

At different points in the records life cycle, the academic archivist, in cooperation with the department that created the records, appraises the records for their continuing legal, evidential, and historical value to the institution, either retaining them permanently in the archives or recommending their destruction. Many institutions maintain or rent off-site records storage areas for their noncurrent and nonpermanent analog records. An archivist with records management responsibilities may be responsible for organizing and sending the records into storage, monitoring their care, retrieving them if necessary, and, finally, disposing of them in accordance with a records schedule or an archival appraisal. Some institutions have yet to establish formal records management programs and in these situations, individual offices, working with the archivist, are often responsible for this process.

Mandates

No matter whether the records are paper or electronic, the archives needs an authorized mandate from the institution to collect and preserve the records, and records schedules must be formally

approved by the institution. The related collecting policy, also often formally approved by the governing body of the institution, may include detailed descriptions of exactly which institutional records the archives will collect. Following are examples of mandates for both academic archives and local history collections.

Academic Archives Mandate: In recognition of the importance of preserving the institutional memory of XXX College and documenting the path of the College's development, the Overseers hereby establish the XXX College Archives as the official repository for the College's noncurrent records of enduring historical value. These Archives, located in the Alumni Library, shall be open to all members of the [College] community and the general public in accordance with the Archives' general policies and any specific restrictions regarding access and use that shall be established. (October 10, 2xxx)

Local History Collection Mandate: The XXX Branch Library for Local History Archives collects and preserves our community's memory for future generations of researchers. Written, visual, and audible materials created by and about XXX-area residents are housed in our documents room, and are available to the public and scholars for research.

Records Schedules

A records schedule is "a document that identifies and describes an organization's records . . . and provides instructions for the disposition of records throughout their life cycle."⁶ In an academic environment, the schedule provides policy statements on the ownership, retention, and disposition of institutional records, identifying who holds the records, how long they need to be kept, and whether they should be destroyed or retained for their archival value. The schedule generally covers records that are common to most or several departments and offices across the academic institution or in offices and departments in towns or cities. In some cases, special schedules are created to address highly specialized functions and types of documentation.

An Archivist Talks About Records Management

These [records retention guidelines and schedules] are guidelines that offices are encouraged to follow. [If] they have any questions, they are to work closely with the college archives office. There are certain items on the schedule that reflect practices in particular offices such as the registrar's and the admissions offices. We don't have responsibility for maintaining those particular records. Things that the archives are interested in—what we consider to be permanent records—those are all listed on our records retention guidelines. —Academic Archivist

The Value of Records Management

An effective records management program generally provides for 85 to 95 percent of records created at an institution to be destroyed in a timely manner, saving the institution from paying excess storage costs and also ensuring best practices in recordkeeping. At the same time, such programs provide a process by which records of enduring value are transferred to the archives.⁷

In summary, providing records management services in the archives unit of an institution provides the following benefits:

- Establishes the archives as the official source of policies for the retention and disposition of all administrative records
- Allows the archives to be involved with the development of policies about the creation and preservation of electronic records
- Reinforces the role of the archives as an integral part of the administration's mission and activities

COLLECTING BY DONATION THROUGH A DEED OF GIFT

Archival materials acquired through donation may be either actively sought by the archivist or the institution or they may be offered as an unsolicited gift. Either way, the process requires active and continual participation on the part of the archivist from the initial discussions to the final acceptance. Convincing potential donors to give their personal papers to the archives requires the diplomacy, skill, and patience that leads to the development of trust. The process can span anywhere from a day to several years or even decades, and may involve not only the records creators but also family members or attorneys.

For all donations, donor or gift agreements are negotiated between the archivist (with institutional input and approval) and the donor. A deed of gift is a formal legal agreement that transfers ownership of, and specific legal rights to, the materials to be donated. Most institutions create standard gift agreements that can be modified and adjusted to particular situations. Depending on the nature of the collection and the perspective of the donor, gift agreements can be simple transfers of ownership or complex negotiations that involve decisions about issues such as privacy and intellectual property rights. For example, donors may request that part or all of a collection be closed to users for a specified period of time.

Because restricting access to all or part of a collection may conflict with overall library policies, accepting collections that stipulate restrictions on access should be carefully considered both by the archivist and the institution before gift agreements are signed. In these cases both the archivist and the library administrator must weigh the ultimate research benefits of acquiring the collection against the restrictions imposed.

A typical gift agreement identifies the donor, transfers legal ownership and copyright of the materials to the repository, and establishes provisions for use of the material. A deed of gift specifies ownership of intellectual property rights to the materials to the extent that they are known and indicates what the repository should do with any unwanted materials discovered after acquisition. Many institutions develop "deed of gift" templates in consultation with their institutions' legal advisors. Donations might include alumni papers, personal faculty papers, external collections that relate to the institution, or external collections that complement, enhance, or help develop the institution's research interests.⁸

Access restrictions often depend on the type of material being collected. Restrictions on access to institutional records may be subject to state and federal law and are also determined by institutional policy. Collections acquired by donation are generally personal papers or the collections of organizations outside the institution. While as a rule these materials are not subject to state or federal privacy

laws, there are exceptions, particularly for public institutions where “in some states the freedom of information laws have been construed to apply even to collected material, under statutory wording that defines public records as material created or collected by a public agency.”⁹

Donors sometimes request that access restrictions be placed on personal papers. They offer a wide variety of reasons for these requests, such as a desire to protect the privacy of individuals still living or of third parties. In addition, the institution itself may have an access restriction policy to protect third-party privacy. In negotiating donor agreements, archivists attempt to limit access restriction periods as much as possible. As Mark Greene writes, archivists and curators “who work in collecting repositories agree about scrupulously abiding by restrictions on collection access negotiated with donors and written into deeds of gift. Such restrictions, indeed, must be clear, temporary, and for a ‘reasonable’ period of time.”¹⁰

APPRAISING COLLECTIONS

Appraisal is an important function of collecting. It has often been called the archivist’s “first” responsibility; first because it is an initial activity in determining the records that should be retained by the archives over time, and “first” because it may be the most important activity that archivists perform. How does an archivist determine what to keep permanently? If, for example, the archives retains only 15 percent of its institution’s records and destroys the rest, how is that 15 percent determined? This issue has been much debated in the archival profession over the past thirty years, and a number of appraisal strategies have been developed to help archivists make those decisions.¹¹

Appraisal is the process by which archivists evaluate and select the records that will be retained and preserved permanently in the archives. Through appraisal, archivists shape their collections, making decisions about which records will become part of the archives and thus what part of “history” will be saved. Determining what has enduring value is based on professional criteria and standards. For public records and some institutional records, these criteria are generally expressed through the collecting policy and records schedules.¹² For personal papers and other types of materials, these criteria are often conveyed through a collection policy.

Collection Policies

Appraisal is guided by collection policies. In an academic environment or a local history collection, the collection policy is often the primary appraisal guide. In addition, archivists have developed general criteria to determine the value of a collection within the context of the goals and mission of the specific institution. These criteria include the administrative, legal, and fiscal records requirements of the institution; the historical value of the material and its significance to the institution’s mission; the relationship of the material to other records in the collection; or the physical condition of the materials that may affect their usability.

A local history collection might use similar criteria but also have a broader policy because local history collections are, by definition, often dedicated to collecting local and regional materials. To encourage donors, it is often advantageous to have a fairly flexible collecting policy; thus many local history repositories describe the kinds of materials they collect in general terms.

Incorporating Electronic Records Into Collecting Activities¹³



VIGNETTE: COLLECTING ELECTRONIC RECORDS AND FACULTY DATA

Gardenia University Archives had long collected faculty papers. For some time, the faculty had been concerned about preserving their electronic records and the data generated from their government grants. In addition to their teaching materials and publications, many faculty members had accumulated large amounts of scientific and human subject data that were integral to the documentation of their research and careers. Much of this data was in electronic form. In addition to their paper records, their electronic materials also needed to be transferred to the archives, but they were stored in many different ways: on personal and office hard drives, in the cloud, and on flash drives. Many faculty members still had information stored on floppy disks and other obsolete storage devices.

The library director and the archivist began a series of discussions on how to address these faculty needs with the available resources. They were aware that government granting agencies increasingly required grant recipients and their institutions to save data and make it available to other researchers. Usually archives appraised, or chose, what to save from among the research materials generated by faculty members, but obligations to the government suggested that more data would have to be preserved. In addition, research on human subjects meant that there were privacy restrictions, while information about the data collection, the overall research project strategy, and the faculty members who conducted the research could not be separated from the data itself; otherwise the context for understanding the data would be lost.

The library director and the archivist, along with the library staff, agreed that they would need to work together to address these complex issues: ownership, privacy, the relationship between the faculty papers and the university records, the cost and ability to store and make accessible research data for the short- and long-term, and the university's obligation to government granting agencies. Security of the records and data in a trusted virtual repository and the ability to migrate and continually preserve that material would require a significant investment in electronic storage as well as in staff resources to manage the data and ensure that it could be accessed. Although the university library was developing an institutional repository, it had not yet been set up to address the archival concerns around data storage and related personal papers. It was increasingly clear that this must be a priority for the entire library.



Most collection policies now point to the desire to collect institutional records and personal papers in all formats. Increasingly, the majority of current records are produced in electronic formats (e.g., e-mail, databases, pdfs, and digital images) and the management and preservation of records in these formats is a major challenge for any institution. The management of electronic records requires that information technology staff and computer resources, such as server capacity and data management systems, are available to the archives or increasingly are part of the archives' operations. *A Glossary of Archival and Records Terminology* notes that:

Electronic records can encompass both analog and digital information formats, although the term principally connotes information stored in digital computer systems. "Electronic records" most often refers to records created in electronic format (born digital) but is sometimes used to describe scans of records in other formats (reborn digital or born analog). Electronic records are often analogous to paper records; email to letters, word processing files to reports and other documents. Electronic records often have more complex forms, such as databases and geographic information systems.¹⁴

Collecting born-digital electronic records, or even scanned digital materials, poses many issues for archivists and records managers, yet meeting the challenges are critical if archivists wish to sustain the continuity of the historical record. Authenticity, preservation, appropriate metadata, obsolete formats, new long-term funding needs—these are all concerns that archivists must consider when collecting electronic records. Can the records be accessed? How will they be made accessible? How can they be preserved? Have the records been modified or changed in any way? What kind of metadata will be needed to manage these records, define context, and record values?¹⁵

The majority of records produced in the twenty-first century, whether in an academic environment or in a town/city, are increasingly and often exclusively in electronic form. The resources needed to manage electronic records over time should be of concern to library directors. These resources include staff with knowledge and expertise in areas such as digital preservation, digital forensics, and information architecture. Security provisions and long-term computer storage are essential. As archivists and records managers seek creative solutions to the complex access and sustainability issues posed by electronic records, support and engagement from library directors is critical.

AN ARCHIVIST'S WORK

The activities associated with collecting, records management, and appraisal all work together to establish, build, and develop information entities that not only safeguard historical and evidential documentation but also provide unique materials that add value to the curriculum and to the research mission of the institution. These processes also augment and enhance the activities of the library.

Knowing what archivists do is essential to recognizing how the activities of archivists and librarians complement one another. Understanding archival processes is the first step toward engaging in meaningful and creative collaborations. The next chapter continues the discussion of what archivists do by addressing the processing, reference, and access functions.

NOTES

- ¹ Society of American Archivists, "So You Want to Be an Archivist: An Overview of the Archives Profession," 2015, <http://www2.archivists.org/profession>.
- ² SAA's "Standards Portal" at <http://www2.archivists.org/standards> is maintained by SAA's Committee on Standards and presents a wide variety of current standards for archives and records management practice. In addition, the appendix of this book contains a short annotated list of key archival standards. ICA standards are found at <http://www.ica.org/10206/standards/standards-list.html>.
- ³ The American Library Association's Standards Review Committee maintains and updates library standards on <http://www.ala.org/tools/guidelines/standardsguidelines>.
- ⁴ Records management standards can be found on the ARMA website at <http://www.arma.org/r2/standards-amp-best-practices>.
- ⁵ Richard Pearce-Moses, "records management," *A Glossary of Archives and Records Terminology* (Chicago: Society of American Archivists, 2005), <http://www2.archivists.org/glossary/terms/r/records-management>. Note that the term *records management* is shifting even within that profession as "information governance" is being more sharply defined.
- ⁶ Pearce-Moses, "retention schedule," *Glossary*, <http://www2.archivists.org/glossary/terms/r/retention-schedule>.
- ⁷ Donna Webber, *Report on the Establishment of an Archival Program at the University of Massachusetts Medical School*, unpublished report, January 3, 2007.
- ⁸ Adapted from the Society of American Archivists, *A Guide to Deeds of Gift* (Chicago: Society of American Archivists, 2013), <http://www2.archivists.org/publications/brochures/deeds-of-gift>.
- ⁹ Mark Greene, "Access to Institutional Archives and Manuscript Collections in U.S. Colleges and Universities," *Japan-U.S. Archives Seminar* (May 2007): 4, http://www2.archivists.org/sites/all/files/08_Mark_GREENE.pdf.
- ¹⁰ Greene, "Access to Institutional Archives and Manuscript Collections," 5. Greene identifies a reasonable period of time as "the lifetime of the donor; 25 or 50 years from date of donation; material in the collection less than 25 or 50 years old (meaning more material becomes unrestricted every year); 75 to 100 years from date of creation for collections such as social service and legal case files, where it is important to ensure that third parties are deceased."
- ¹¹ Various strategies include functional analysis, documentation strategy, and macroappraisal. There is a significant body of literature on archival appraisal. Some useful reading includes Richard J. Cox, *No Innocent Deposits: Forming Archives by Rethinking Appraisal* (Maryland: Scarecrow Press, 2004); and Terry Cook, "What Is Past Is Prologue: A History of Archival Ideas Since 1898, and the Future Paradigm Shift," *Archivaria* 43 (Spring 1997): 17–63.
- ¹² Many national archives, including the U.S. National Archives, have developed appraisal policies and standards. See, for example, National Archives and Records Administration, "Strategic Directions: Appraisal Policy," September 2007, <http://www.archives.gov/records-mgmt/initiatives/appraisal.html>; and Library and Archives Canada, "Appraisal Methodology: Macro-Appraisal and Functional Analysis," November 2014. Part A of "Appraisal and Methodology" is called "Concepts and Theory" and is available at <http://www.bac-lac.gc.ca/eng/services/government-information-resources/disposition/records-appraisal-disposition-program/Pages/appraisal-methodology-part-a-concepts-theory.aspx>.
- ¹³ This is only an introduction to the complex topic of electronic records. Detailed discussions on electronic records are increasingly found in the archival literature, both in journals and books. Some examples include William Saffady, *Managing Electronic Records* (Chicago: ARMA International Educational Foundation and Neal-Schuman Publishers, 2009) and Christopher (Cal) Lee, ed., *I, DIGITAL: Personal Collections in the Digital Era* (Chicago: Society of American Archivists, 2011).
- ¹⁴ Pearce-Moses, "electronic record," *Glossary*, <http://www2.archivists.org/glossary/terms/e/electronic-record>.
- ¹⁵ Pam Hackbart-Dean and Elizabeth Slomba, *How to Manage Processing in Archives and Special Collections* (Chicago: Society of American Archivists, 2012), 48–49.

5

What Archivists Do, Part II: Processing, Preservation, Access, Reference, and Outreach



VIGNETTE: ORGANIZING BY PROVENANCE

Annette was excited when she was hired at the local history room of the Rock Creek Public Library. Her new job was to create finding aids for their eighteenth- and nineteenth-century family collections. It was the perfect part-time job to gain experience while she was enrolled at a nearby library school learning to become an archivist.

However, when the library director showed her the collections, about seventy gray boxes of materials, she was confused. They were full of what looked like manuscripts and letters apparently addressed to family members, but they didn't look at all like the archival collections she had heard about in her classes. With the director pushing her to get started, Annette decided to ask her archives professor for advice.

When Professor Lane saw the collections, she knew what had happened. Sometime in the past, a volunteer librarian at the public library had cataloged the collection in the way she knew best—by subject. She had gone through the collections, originally organized by the families who had given them, read through all the correspondence, and then pulled together papers on similar topics—railroads, business, church, schools, and so on. It could not have been easy work, for many documents, particularly letters, discussed multiple subjects. But the librarian did her best and rearranged the contents of the collections according to the Dewey Decimal System, following the classification and cataloging principles with which she was familiar.

The boxes and folders were now organized by subjects. The contextual understanding of the progression and development of a family's life and relationships between family

members and other people in the town over time was lost. Insights into events such as the American Revolution and the Civil War—as well as concerns about abolition, temperance, and women’s rights, seen over time through the eyes of a family—could not be recovered. With many dates missing and few letters signed with both first and last name, it was impossible to reconstitute the original collections.



For archivists, processing is akin to library cataloging: it is the core activity that establishes the organization of and access to collections. While the goals of processing and cataloging are similar, there are significant differences between the resources needed to create a bibliographic record for a published monograph and the resources needed to describe a collection of unpublished, unorganized, and diverse archival materials through a finding aid. As a public librarian notes, “intellectual organization of content is the philosophy that motivates the librarian, while physical organization drives the archivist,”¹ pointing out that while librarians arrange (nonfiction) books by subject, archivists arrange material guided by the archival principles of provenance and original order.

As defined in Chapter 2, provenance dictates organization by context so that records from the same origin or creator must be kept together and those from different origins must be kept separate, thus enabling collections and their records functions to be understood within the contexts in which they were created. Depending on the complexity of the collection, establishing both provenance and original order (or creating an appropriate order if the original order cannot be established) may require considerable research and contextual understanding on the part of the archivist.

PROCESSING COLLECTIONS

Processing is a catch-all word that describes the sequential physical and intellectual activities that archivists perform to make collections accessible and usable. From the initial accessioning of a collection to creating user access, this workflow may vary in the time required to complete it but will not differ much in the activities involved. Whether the collection is paper or electronic, photographs or videos, similar steps form the processing continuum, but the specific steps taken may vary based on staffing, the resources an institution devotes to this activity, and a processing workflow that may incorporate digitization of materials. These steps include:

- **Accessioning:** Officially transferring the collection into the custody of the archives and documenting that transaction.
- **Surveying** (often considered part of the accessioning process): Examining the entire collection as a whole to determine its provenance (creator), identifying preservation issues and making some preliminary determinations about the series into which the collection will be arranged. Identifying subject/research potential of the collection.
- **Preservation:** Although preservation is inherent to processing collections, it is also an area of concern by itself, one that is a continuous aspect of collection protection, care, and longevity. At the processing level, preservation involves assessing the condition of the collection as a whole, identifying items that may need special preservation or even conservation work, and

assessing the collection for possible digitization. If the collection itself is born digital (e.g., e-mail, websites), issues around implementing digital preservation strategies are an immediate concern. Broader aspects of preservation and digital preservation are discussed later in this chapter.

- **Preparing a Processing Plan:** A processing plan is an essential beginning step in setting up the procedure for the entire processing of the collection. This includes determining how the work of arranging, describing, and preparing the finding aid will be accomplished; identifying how much of the original order can be retained; and estimating how long processing the collection might take.
- **Arranging:** Establishing order for organizing a collection into series and folders (principally for nondigital records).
- **Describing:** Preparing the appropriate administrative, biographical, or organizational descriptions and descriptive (scope and content) notes for the collection and the series based on current archival standards such as *Describing Archives, a Content Standard (DACS)*.² Creating access points and conducting authority work is also integral to description.
- **Preparing a Finding Aid:** A finding aid is the final description of a collection in context that imposes both physical and intellectual control—that is, provides access to it. Finding aids vary widely in both format and in length depending on the level of access provided, the size and scope of the collection, and the staff resources available.
- **Providing Online Access:** Online access may be created at many levels from MARC (Machine-Readable Cataloging) records in the library's online public access catalog (OPAC) and website to the scanned collection itself. It may require encoding the finding aid into Encoded Archival Description (EAD).³ Access levels may depend on the policies and technical capacities of the institution.
- **Digitization:** In addition to creating online finding aids, many archivists now assess the collection itself for future digitization, for reasons of both improved access and preservation (the latter to prevent less handling). Criteria for digitization are in accordance with accepted standards⁴ but also depend on an institution's resources and priorities.

Archival Finding Aids and Library Catalog Entries

All of the elements that constitute the processing of archival materials are aggregated into the finding aid. This tool includes both the contextual information (for example, information about the creator of the collection, such as biographical, organizational, or administrative histories), and the collection content (the series, series descriptions, folders, lists and, sometimes, item lists). As with a catalog entry, essential information such as dates, creator/author, and subject headings may be included in a finding aid, but the text is more free form, lengthier, and more descriptive. Importantly, archival materials are described in a way that reflects their arrangement. The person processing the materials may preserve or choose to re-create the original order or may impose a new logical order.⁵ Most finding aids are structured into logical groupings ("series") that reflect this arrangement. Although structural standards, such as Encoded Archival Description (EAD) and the recently approved Encoded Archival Context—Corporate Bodies, Persons, and Families (EAC-CPF), are recommended for online finding aids, they are not mandatory, unlike library catalog entries and classification, which must follow a prescribed set of rules.⁶

For researchers, both finding aids and catalog entries offer different ways of locating and understanding information. For example, a librarian catalogs and classifies a book by author and by subject. An archival collection is cataloged by creator but not classified as such. Archivists are concerned with preserving the context of creation and not with organizing or rearranging material by subject (although in catalog entries for archival collections, subjects are typically highlighted as access points for collection-level records). Classification systems bring like subjects together in a library, but in an archives, collections are kept by provenance and there is no similar inherent organization and hierarchy.

Another way to look at the differences is that librarians take a bottom-up approach, cataloging materials at the item level. Archivists take a top-down approach, primarily arranging and describing materials at the collection, series, and then folder levels. Archivists today rarely describe at the item level, except for materials of particular importance or of locally identified interest to researchers.

Archivists Talk About Processing

Question: Is there anything in general you would want a library director, or your library director, to understand or know about processing?

This is [an] extremely time-intensive and labor-intensive [activity]. The way that I have described it to people before is [if] I give you a book, you can look in the table of contents . . . in the index . . . on the back of the title page. You can get enough information from those things to describe [the book] to somebody else, well enough for them to know if they want to see it. You can't do that with a manuscript collection in its raw form. It's impossible. Even if it's just a single box.

— Academic Archivist

I think sometimes librarians are seduced by the fact that [a finding aid is] just another kind of catalog. In some ways that's true, but it's so much more complicated than that. That's the main thing, I think, to teach people. I still get requests [from users], "oh I just want to see" whatever this item is. They don't understand that this "item" is five boxes! Or they see a folder and they think [by the name of the folder title that there will be] the answer to the question. They don't necessarily know what's in the folder, because all they are seeing is the title. [Archivists] know that, but [others] don't know that.

— Academic Archivist

Workflow

Although the daily activities of an archives, as in a library, revolve around the common missions of access and user services, working with the unpublished material of the archives versus the published material of the library creates crucial differences in the work and workflow. One of the most significant differences between library cataloging and archival processing is the time factor—the time it takes to process a collection versus the time it takes to catalog a book. As a reference librarian attempting to explain this difference to her colleagues notes:

Titles in a library are individually described and cataloged. This is not actually as burdensome a task as it could be because a cataloger working with published materials has immediate sources of help available to him or her. . . . Archivists, however, almost always have to create original descriptions because they deal with primary documents.⁷

In a recent book on archival organization, Pam Hackbart-Dean and Elizabeth Slomba note that “archival processing is the alchemical means of facilitating access to materials that do not come with predetermined access points, a list of contents, an index, or any sort of description.”⁸ They point out that when it comes to making collections usable, archivists begin with few guidelines other than those suggested by archival practice and theory. This very lack of guidance means that “processing represents a significant investment of both physical and intellectual labor to make a collection available to researchers.”⁹

In addition, collections are increasingly a hybrid of formats—paper, obsolete media (such as reel-to-reel tapes, punch cards, and floppy disks), hard drives removed from computers, websites, e-mail, or research data housed in the cloud. With few guidelines and sometimes few precedents, addressing the varieties of recording formats—often across several centuries within a single repository, from eighteenth-century ledgers to twenty-first century e-mail—is a constant challenge. All these factors suggest that the time it takes to process an archival collection is at least partially dependent on the level of complexity of the collection. Like book cataloging, processing collections can be managed at different levels, from describing only at the most general collection level to describing at the item level.¹⁰

How Long Does Cataloging Take? How Long Does Processing Take?

How long does it take to process a typical unit of archival material?

- Copy cataloging a book: 10 minutes
- Original cataloging for a contemporary published title: 2–4 books per hour
- Original cataloging a rare book: 2–4 hours¹¹
- Processing 1 cubic foot of archival materials: 4–10 hours¹²

While cataloging a book from accessioning to shelving involves a number of focused steps, generally these all occur within the prescribed confines of the book-in-hand and the online catalog resources. For a published item, unless it is a rare monograph or serial, most of the research has already been done by others and integrated locally. Processing original archival collections, on the other hand, involves multiple activities that require significant time and resources.



VIGNETTE: WORKFLOW—A CAUTIONARY TALE

When a university archives received the papers of one of its internationally prominent science faculty, it was with the understanding that the collection would quickly be made accessible to the public. After several years with no processed collection and no accessibility, the family of the scientist complained to the university librarian (who also supervised the archives). In turn, the university librarian called in the archivist and demanded to know what was holding up the work. He recognized that the archives had a backlog and was willing to find some assistance for this project and so asked the archivist to write a processing plan based on three hours per week devoted to the collection. From the librarian's point of view, three hours per week seemed more than enough time to devote to a single collection.

The large, twentieth-century collection of mixed institutional records and personal papers constituted more than 100 cubic feet of material. The scientist had been the head of

the physics department for many years and intermingled in his records were sensitive administrative materials that were subject to institutional restrictions. His personal papers included logbooks, diaries, data, and manuscripts, as well as hundreds of letters received from his colleagues. Many of these items were in different languages, many of them were long and complex, frequently containing personal information that would need to be evaluated carefully, in some cases, item by item. The archivist estimated that a full-time professional could process about 8 cubic feet a month. Based on three hours a week, processing the collection would take eight to nine years.



PRESERVATION/DIGITAL PRESERVATION

Preservation has always been a core archival activity. In a digital environment it is essential. Although digitized and born-digital materials are increasingly at the center of archival concerns, most archives house many cubic feet of paper collections and continue to accession paper collections and increasingly mixed collections—collections containing many formats, from paper to floppy disks to records in the cloud and those harvested from various social media.

Despite the increasing variety of formats, many of the reasons for preservation remain the same. While the approach that librarians and archivists take toward preservation is similar in that both seek to prolong the life of materials for as long as they are useful, *useful* is defined differently. For librarians not working with rare or special research collections, materials are useful until they deteriorate when, depending on their value to the institution, they can be replaced, repaired slightly, or simply removed from the collection. For archivists, “preservation is a core management function and a primary ethical responsibility.”¹³

By the simple act of accepting materials into the archives, archivists are committed to keeping these materials and the information they contain safely accessible in their original form for an indefinite period of time. If materials can no longer be kept in the original form, then archivists must strive to maintain the information in some other format without compromising the content and context. The very act of accessioning and appraising the material and determining that it has enduring value to the organization means that the information, if not the actual material, must be maintained permanently, if possible. While both librarians and archivists have responsibilities to preserve information and make it accessible to the public, archivists have the additional responsibility of preserving the original, usually unique, records and/or artifacts.

The ability to digitize and to acquire born-digital materials has altered this landscape in some major ways, particularly for libraries, because it has changed the ways “in which information is produced and becomes available to a community of users.”¹⁴ While in the print environment “the processes of creation, reproduction and distribution were separate and different,” vendors now control much of the access, particularly to journal materials, but technological advances tend to blur those older differences.¹⁵ Today, for libraries, questions of ownership and preservation responsibilities are not as clear-cut as in the past.

For archivists, who collect records that are unique and not replaceable by purchase, preservation responsibilities tend to be more explicit. Ideally, such physical collections are kept in secure

temperature- and humidity-controlled environments to slow deterioration as much as possible. Items can be “replaced” in that copies can be made: paper can be duplicated or scanned or electronic data can be migrated to new media. But the costs of replacing or reformatting items in collections that contain thousands if not millions of items is prohibitive. Some of the basic preservation responsibilities for both analog and digital records include:

- **Providing adequate space:** For analog materials, this includes a secure and temperature/humidity-controlled space. Because archivists continue to add analog collections but rarely deaccession them, space needs increase, often requiring additional storage space or off-site storage. For digital materials this includes adequate server space.
- **Providing adequate housing:** This includes acid-free folders, enclosures, and boxes of varying sizes for many types of records and proper housing for audio-visual material (all sizes and kinds of film, tapes, cassettes, disks, etc.) and still images (all types of photographs, negatives, slides, etc.). Some items require different levels of temperature and humidity. Housing is a constant, routine part of archival care and can be costly. For digital materials, this includes appropriate server space and consistent maintenance.
- **Maintaining equipment to run older technologies:** Many archives will make an effort to maintain technology to run older formats, such as reel-to-reel players, cassette players, floppy disk drives, etc. As the amount of materials stored on obsolete technologies multiplies, most archives do not have the capacity to address the complex digital forensics issues involved in migrating materials or the resources to maintain the equipment. Reformatting may have to be outsourced. Whether outsourced or in-house, reformatting will require additional funding to support this activity.
- **Identifying items or collections for conservation and finding the resources for those activities:** While preservation “broadly encompasses those activities and functions designed to provide a suitable and safe administrative context and environment that enhances the usable life of collections,” conservation is often a costly process “intended to stabilize materials in their original format by chemical and physical means.”¹⁶
- **Maintaining the expertise and technological capacity required for the digital preservation of both digitized and born-digital materials:** Strategies, techniques, software and hardware standards for digital preservation, and digital forensics are evolving rapidly. Archivists need to keep current with the rapidly developing initiatives and best practices.¹⁷

PROVIDING ACCESS

Richard Pearce-Moses defines access in an archives as the “ability to locate relevant information through the use of catalogs, indexes, finding aids, or other tools.”¹⁸ Access follows naturally from processing, and, as Pam Hackbart-Dean and Elizabeth Slomba write, “reaching the access goal is the bedrock of any processing policy.”¹⁹

An Archivist Talks About Access

We are very focused on providing access. That's . . . our mantra. If you have all this cool stuff, but nobody knows you have it and you can't find it, it doesn't exist. So we've done a lot . . . to try to provide access to materials that we have.

— Academic Archivist

While Pearce-Moses's definition could also define access in libraries, a more specific description of providing access to archival collections involves determining the level of access that the archives can provide. There is no uniform standard. Decisions on the level of access vary from institution to institution and depend on multiple factors, including staffing, resources, constituencies, and the overall policies of the parent organization. Nonetheless, as Hackbart-Dean and Slomba write, "every archivist must identify his or her ideal for making collections accessible at his or her institution and then decide how to make that ideal a goal and determine the best means of reaching that goal."²⁰

Creating finding aids that inform users about the content of collections is not the same as scanning those contents and making them available on a website. Determining the level of description, deciding whether to create subject headings, MARC records, EAD finding aids, or databases—and also scanning—are all decisions that should be part of an access policy and that will in turn affect the processing of the collections.

Both libraries and archives in libraries face a significant challenge in trying to provide digital access at levels that satisfy the ever-increasing expectations of users. It is also a challenge that not only is shared by both professions but also offers great potential for uniting them around their common goal of service. Digital access as a unifying information mission will be explored in greater detail in Chapter 8.

OFFERING REFERENCE ASSISTANCE



VIGNETTE: AN ARCHIVAL REFERENCE REQUEST

Joanne, an undergraduate journalism student at Phillips College and staff member on the college newspaper, decided to write an article about campus student protests in the 1960s. Old copies of the newspapers provided the student perspective of events, but she was eager to learn about how the college's administration dealt with the uprisings.

She went to the college archives and asked the archivist "for the file on student protests from the administration's point of view." But no such "file" existed because offices do not file their records this way. Instead, the archivist thought about which administrators and which administrative offices might have been involved with student protests in the 1960s.

The archivist brought Joanne to the public terminal in the reading room and located the finding aids for the Office of the President, the Provost, and the Dean of Student Affairs.

At first they did a simple search on student protests, but when that proved fruitless, the archivist began scrolling through different sections of the finding aids, pointing out different folder titles (student demands, meetings with student government leaders, campus meetings) based on her knowledge of the time period and the finding aids. This search finally led to identifying a number of folders that might be useful. Some of the records were stored off-site. Joanne made an appointment to come back later in the week to see the files, and they were waiting for her when she returned.



Archives and libraries share many common goals, and reference services are at the heart of their missions. However, the ways in which reference services are carried out is very different. In a library, be it academic or public, standard reference tools and web-based catalogs are familiar sights to patrons. Whether the arrangement of collections is based on Library of Congress Classification or the Dewey Decimal System, library users often need little guidance to physically locate the books they seek. When they need guidance, a reference librarian is generally readily available to discuss resources and point patrons in the right direction.

In an archives, as Frances O'Donnell writes, "a reference archivist stands as a mediator between the user and the source material in a much more central way than a librarian does."²¹ Collections are stored in closed stacks and not necessarily digitized. Users cannot browse the shelves. Materials may be subject to certain restrictions and may not even be available for public use. The unique materials in an archives demand security restrictions that are not necessary in the general library. Patrons will be asked to fill out a registration form, they will put personal items and bags in lockers for security, and, because they may not be familiar with using an archives, they will receive an orientation from the reference archivist. That archivist may find that the researcher's reference questions will take additional time, often requiring an in-depth reference interview and considerable assistance.

If the question comes from the institution itself, then the archivist may do the research for an office, depending on expectations. Because the complexity of answering a question is often not satisfied by a "subject" approach alone, the archivist needs to have a thorough knowledge of the history and organization of the institution in addition to the major subjects of the collection.

Archivists Talk About Reference

We don't have . . . ready reference materials in an archives [where] we can look up [digested facts] very quickly. [At least] not [in] the same way a reference librarian would have access to . . . databases and [other tools] . . . I'm not sure [librarians] realize sometimes what it [takes] to answer [an archives-related] question.

— Archivist, Local History Collection

It's . . . difficult to explain [archival reference] sometimes to directors. . . . We [the archivists] tend to see someone [once] and [then] they may be sitting here for the next 3 hours and then they may come once a week for the entire semester [as a result of that one conversation]. Or they may be here for a week at a time working on something 8 hours a day. It's a very different type of use [and interaction].

— Academic Archivist

Archival collections are widely diverse and so are the reasons for using the archives: genealogists tracing their families; architects renovating a building on campus; historians researching different aspects of institutional history or the life of a particular individual; students completing course assignments; and staff planning anniversaries or events. These are only a few of the constituents and their pursuits. In both academic institutions and local history collections, the archives and the special collections also cater to constituents beyond the institutional walls, such as journalists, filmmakers, and local historians, as well as researchers from around the world seeking access to unique materials.

DOING OUTREACH

As in libraries, outreach is a core function of the archives, and one that is expanding in importance and visibility in the digital age as new users become more familiar with primary sources that are increasingly available on the web. Richard Pearce-Moses defines outreach as “the process of identifying and providing services to constituencies with needs relevant to the repository’s mission, especially underserved groups, and tailoring services to meet those needs.”²² Joan Reitz offers a similar definition of outreach for libraries: “library programs and services designed to meet the information needs of users who are unserved or underserved, for example, those who are visually impaired, homebound, institutionalized, not fluent in the national language, illiterate, or marginalized in some other way.”²³

Online access means that both archivists and librarians can reach out to populations previously neglected or marginalized, expanding their services far beyond the walls of the institution through web exhibits as well as online catalogs and finding aids. Through online access, for example, both higher education and K–12 classes can now easily incorporate the use of primary sources and archivists promote and participate in that use. Outreach and information literacy will be examined in more detail in Chapter 8.

Like access, outreach is also an area where the service mission of the archives intersects most clearly with that of the library, suggesting significant potential for cooperation and collaboration. Through outreach, both professions are committed to using their valuable resources in creative ways, providing services to a broad and diverse population of users.

AN ARCHIVIST’S WORK

Archivists perform a wide variety of functions necessitating broad familiarity, even expertise, with many aspects of archival work. While librarians in large or even medium-sized institutions generally specialize in particular information areas, archivists need to become knowledgeable in all areas of the work of their profession because they may be the only one, or one of a small number, working in the archives. Like librarians, however, archivists in libraries have the same fundamental concerns. They collect and organize materials, create access to those materials, offer reference services, and work to expand their information reach. The differences may be in the “how” and the “what” and the “who,” but the “why” is shared. A commitment to service, users, and the values of information are attributes common to both professions.

The complexities of what archivists do and what archives are suggest that the decision to establish an archives within an academic or public library is a major one. How that decision is made and how the resulting archives is created and managed is the focus of Chapter 6.

NOTES

- ¹ Eric Linderman, "Archives in Public Libraries," *Public Libraries* (January/February 2009): 46.
- ² "Describing Archives: A Content Standard (DACS) is an output-neutral set of rules for describing archives, personal papers, and manuscript collections, and can be applied to all material types. It is the U.S. implementation of international standards (i.e., ISAD[G] and ISAAR[CPF]) for the description of archival materials and their creators." Society of American Archivists, "Describing Archives: A Content Standard, Second Edition (DACS)," January 2013, <http://www2.archivists.org/groups/technical-subcommittee-on-describing-archives-a-content-standard-dacs/dacs>.
- ³ "Encoded Archival Description is a nonproprietary standard for the encoding of finding aids for use in a networked (online) environment. Documentation is hosted by the Library of Congress. The standard is maintained and developed by the SAA Standards Committee's Technical Subcommittee for Encoded Archival Description." Society of American Archivists, "Encoded Archival Description (EAD)," August 1999, <http://www2.archivists.org/groups/technical-subcommittee-on-encoded-archival-description-ead/encoded-archival-description-ead>.
- ⁴ There are a large number of digital standards for both libraries and archives. A list of these standards, which have been developed by the digital preservation community around the world and are particularly applicable to archivists, are available at the Society of American Archivists' site, <http://www2.archivists.org/standards/external/123>.
- ⁵ Recognizing that Google has become a primary search engine, archivists are developing strategies to highlight their collections within this engine.
- ⁶ Both the EAD and EAD-CPF standards are freely available on the website of the Library of Congress at <http://www.loc.gov/ead/>.
- ⁷ Stacy Etheredge, "Almost, But Not Quite, Entirely Unlike Libraries," *AALL Spectrum* 16, no. 9 (July 2012): 19–20.
- ⁸ Pam Hackbart-Dean and Elizabeth Slomba, *How to Manage Processing in Archives and Special Collections* (Chicago: Society of American Archivists, 2012), 4.
- ⁹ Ibid.
- ¹⁰ Collection-level processing, also known as MPLP (More Product Less Process), is best described by Mark Greene and Dennis Meissner in their landmark article, "More Product, Less Process: Revamping Traditional Archival Processing," *American Archivist* 68 (Fall/Winter 2005): 208–263. Greene and Meissner estimate that by using MPLP, a professional archivist can process 1 cubic foot in 4 hours. Alternatively, processing 1 cubic foot with an item-level process means that each item in each folder is listed, which could take as much as 10 to 12 hours to complete. For an earlier estimate of processing time, see William Maher, "Measurement and Analysis of Processing Costs in Academic Archives," *College and Research Libraries* 43 (January 1982): 59–67.
- ¹¹ The estimates for book cataloging were taken from Jane M. Read, *Cataloguing Without Tears: Managing Knowledge in the Information Society* (Rollingsford, NH: Chandos Publishing, 2003): 45–46.
- ¹² The amount of time that should be spent on processing collections and the depth to which they should be processed is a much-debated issue within the archival community. For literature on all sides of this debate, see, for example, Robert Cox, "Maximal Processing, or, Archivist on a Pale Horse," *Journal of Archival Organization* 8 (November 2010): 134–148; Donna E. McCrea, "Getting More for Less: Testing a New Processing Model at the University of Montana," *American Archivist* 69 (Fall/Winter 2006): 284–290; and Christine Weideman, "Accessioning as Processing," *American Archivist* 69 (Fall/Winter 2006): 274–283.
- ¹³ Mary Lynn Ritzenthaler, *Preserving Archives and Manuscripts*, 2nd ed. (Chicago: Society of American Archivists, 2010), xvii.
- ¹⁴ Ross Harvey, *Preserving Digital Materials*, 2nd ed. (Berlin: De Gruyter, 2012), 9.
- ¹⁵ Ibid, 9.
- ¹⁶ Ritzenthaler, *Preserving Archives*, 3.
- ¹⁷ The literature on digital preservation is abundant and growing rapidly. As noted earlier, SAA offers links to standards and best practices at <http://www2.archivists.org/standards/external/123>. Some additional authoritative sources include Harvey, *Preserving Digital Materials*, and Edward Corrado and Heather Lea Moulaison, *Digital Preservation for Libraries, Archives, and Museums* (Lanham, MD: Rowman and Littlefield, 2014).
- ¹⁸ Richard Pearce-Moses, "access," *A Glossary of Archival and Records Terminology* (Chicago: Society of American Archivists, 2005), <http://www2.archivists.org/glossary/terms/a/access>.
- ¹⁹ Pam Hackbart-Dean and Elizabeth Slomba, *How to Manage Processing in Archives and Special Collections* (Chicago: Society of American Archivists, 2012), 12.
- ²⁰ Ibid.
- ²¹ Frances O'Donnell, "Reference Service in an Academic Archives," *Journal of Academic Librarianship* 26, no. 2 (March 2000): 112.
- ²² Pearce-Moses, "outreach," *Glossary*, <http://www2.archivists.org/glossary/terms/o/outreach>.
- ²³ Joan M. Reitz, *Online Dictionary for Library and Information Science* (Santa Barbara, CA: ABC-CLIO, 2004–2014), http://www.abc-clio.com/ODLIS/odlis_1.aspx#libraryprogram.

When a Library Starts an Archives: Establishing, Planning, and Managing



VIGNETTE: WHY AN ACADEMIC LIBRARY STARTS AN ARCHIVES

Marsh State, a small private Midwestern university, was founded in 1920 when Ebenezer Marsh donated 300 acres of land and \$400,000 for the purpose of educating men and women in the rural countryside. Ambiguity in Marsh's will over how the land was to be distributed created continuing disputes with his heirs. The university had been to court several times over this issue and each time had won decisively. Nonetheless, the dispute continued because each generation of family members felt that they had a claim. The latest Marsh claimants were going to court once again. The president of the university, determined to settle this once and for all, asked his assistants to gather all the documents and any other evidence relating to these land disputes over the years.

This was easier said than done. Since the first litigation in 1930, offices had been moved, personnel had changed, and the original law firm no longer existed. In addition, the cases had touched many different administrative departments, not only the legal office, and so material was scattered throughout the school. Because the university had no archives, there was no single location where all critical department records were collected and organized. The library's mission, focused on collecting materials to support the curriculum, did not include the records of the school itself.

Many administrators in numerous offices searched for weeks. They finally discovered and organized sufficient material to help the president and the lawyers make a strong and (the president hoped) final case, but the lesson was clear. The vital documents and significant records of the university needed to be accessible to the administration. Not only was this accessibility essential to protect the university, but it was cost-effective as well—much

less expensive and much more effective than having many staff members search for materials each time they were needed. The president gave the library director a budget to establish an archives.



VIGNETTE: WHY A PUBLIC LIBRARY STARTS A LOCAL HISTORY ROOM

The Mansfield Public Library had been informally collecting local history material and government records since it first opened in 1940. Many years ago it acquired the records of the first mayor of the town, but since then it had focused primarily on published works. The Mansfield Historical Society was known for its comprehensive collections about the founders of the town as well as a photograph collection that spanned the twentieth century. The county records office also had records documenting the history of Mansfield, while the nearby college had focused on the town's economic development and contributions to the arts.

While each organization collected independently over the years, there had been recent changes. When the Mansfield Historical Society was offered the personal papers of a local prominent family, more than 100 cubic feet in size, the board of trustees realized it did not have the facility or resources to handle large modern collections and decided to limit collecting to the early families.

The board decided to offer the collection to the public library at about the same time that the superintendent of schools approached the library director to talk about offering classes for K–12 students. History standards had recently been revised, and teachers needed to instruct students on the use of primary sources for historical research. There were interesting materials available on the Internet, but the superintendent wanted to bring children to the library to see the original local material.

In addition, for the last few years, the number of genealogists visiting the public library had been increasing. The library director, recognizing an excellent opportunity to reach a broader audience, put together the resources needed for new and renovated space to serve the needs of the genealogists, the request for class instruction from the superintendent of schools, and the new collection from the historical society. She then made a pitch to the mayor's office for an expanded local history room in the plans for a major renovation to the library. When the renovation was approved, the director talked to her staff about designing the new local history program but realized that neither the new collection direction nor this type of programming with primary sources was familiar to them. She realized it was time to create a formal archives and hire an archivist.



Why might an organization create an archives? The idea might begin with responding to the legal needs of the institution or with the gift of one collection, as in the examples above. Other common motivations might include the restructuring of the institution itself or the institutional celebration of an important anniversary and the subsequent need to organize and preserve the records collected.

The decision to start an archives may also be a natural consequence of organizational evolution. As an organization develops over time, it accumulates records. At a certain point in that accumulation, the records—whether electronic, paper, or any other format—become unusable unless they are controlled in some way. In addition, as an organization ages, the records it has created over time often take on the patina of history, a gloss that adds value to the organization's image and to its place in the community. The accumulation of records may also offer new and real opportunities for institutional and scholarly research. If that organization includes a library, then the library may have become, by default, the natural repository not only for institutional records but for donations of related records.

In a town or city, the public library is often the default option, seen as a safe home for historical information about the town. The simple urge to preserve file cabinets of documents or letters and scrapbooks collected over a lifetime drives families, donors, and institutions to seek homes for a wide variety of records.

Decisions over whether or not to start an archives may become concerns for both small and large organizations, in academic institutions as well as in public libraries. With sufficient critical mass, establishing an archives or a local history room may be the next logical step.

THE BIG PICTURE

Whatever the immediate reason may be for establishing an archives, as Elizabeth Yakel writes in the appropriately titled *Starting an Archives*, “the archives must be strong enough to outlast the initial reason for its existence.”¹ Ensuring long-term sustainability requires careful and deliberate planning that includes a number of essential steps:

- Getting an institutional commitment
- Receiving a formal mandate
- Placing the archives appropriately within the organizational hierarchy
- Planning all aspects of the archives, using outside consultants if necessary
- Managing the archives, which includes hiring professional personnel—an archivist—obtaining consistent financial support and establishing a budget, designing adequate and secure facilities for the collection (for the users and for the archives staff), and developing policies and procedures

These steps are more likely to succeed if an institution pursues strategies that help integrate and merge the archives in the broader library environments. Effective strategies include:

- Involving the library staff in the initial decision to start an archives
- Working with the library staff as well as the archivist to define the role of the archives in relationship to the library
- Familiarizing the library staff with archival processes
- Promoting collaborative activities and projects between the library and the archives

Following these steps and addressing these issues will give an archives the best possible start within an organization.

SECURING INSTITUTIONAL COMMITMENT

The importance of establishing an institutional commitment to start an archives cannot be overstated. Elizabeth Yakel writes that “establishing an archival program should not be done without careful consideration, ample planning, and well-defined goals. The initiation of an archival program entails a long-term and continuous commitment of an institution or organization to support, preserve, and make available a unique group of historical materials.”² The need for institutional commitment is intertwined with the recognition that the archives, through its records, holds and preserves the memory and the history of the institution. One academic archivist interviewed for this book explains this commitment:

An Archivist Talks About Starting an Archives

So starting an archives . . . it's recognizing from the beginning why an archives matters. It's understanding what an archives does. Which means understanding the goals [and] the nature of the institution. The values of the institution should be suffused through the archives. The archives is an expression of the values and aims and mission of the institution. So a director has got to recognize that simple fact . . . [the archives] is a big expression of who we are and [we] to need to support it.

— Academic Archivist

Making the commitment to start an archives is neither a simple nor an uncomplicated decision. Because it will involve so many stakeholders in the institution, it must be made at the highest organizational level. Critical considerations in this decision making should include:

- **Motivation:** Why is an archives being started at this time? Is the motivation significant enough to warrant a long-term commitment?
- **Fit:** Will an archives fit within and enhance the existing organization?
- **Service:** Who is the archives for and who will it serve?
- **Resources:** Is the institution committed to providing the resources necessary to sustain the archives over the long term?
- **Content:** What kinds of materials will the archives collect and maintain? In addition to institutional records, will the archives also accept personal papers? What additional structures will need to be put in place to facilitate this? Will there be a records management program?
- **Governance:** Can the existing organizational infrastructure support and sustain an archives?
- **Value:** What added value will the archives bring to the organization?

While the commitment may differ in scale, depending on the size and nature of the institution, the issues remain the same. The ubiquity of archival materials in all kinds of organizations has inspired a number of archival associations around the world to offer easily accessible and adaptable guidelines that all begin with defining the commitment. For example, in *A Manual for Small Archives*, the Archives Association of British Columbia succinctly expresses the breadth of the commitment, advising that “any archival undertaking must begin with an understanding that it will be an ongoing, permanent programme, with regular acquisitions, adequate space, sufficient funding, and continued staff and community support. The archives need not be big or expensive or bureaucratic, but it ought to be created and maintained in a thoughtful and organized manner.”³

OBTAINING A MANDATE

Since establishing an archives not only involves obligating resources but giving the archives the authority to operate within the wider institution, a formal mandate expressing the commitment to create an archives must be made at the highest level of the institution.⁴ In an academic institution, that might be the president and the board of trustees or the board of governors; in a public library that might be the director and the town/city advisory board. The mandate should be in writing, should be made public, and should define the authority of the archives within the institution as well as the place of the archives within the administrative structure.

Support from the institution should not depend on the goodwill or interest of current administrators. The authority of the archives should be established by a vote of the board of trustees and this statement of authority should be widely disseminated to the stakeholder community, possibly through a policies and procedures manual.

Many academic archives post this mandate on their websites. Common elements of these mandates include:

- Designating the archives as the official repository of institutional records and often identifying those records that the archives will collect
- Defining the responsibilities and authority of the archives in relationship to managing current as well as historical records
- Designating the reporting authority of the archives
- Giving the archives the authority to make, disseminate, and enforce records policies for the institution
- Giving the archives authority to solicit and legally accept third-party collections (donations)
- Making the institutional commitment to provide preservation for and access to these third-party collections
- Giving the archives the authority to propose, establish, and/or manage access and restriction policies
- Specifying the types of institutional records that the archives will collect

In addition to a formal mandate, institutional commitments also include determining placement within the organizational structure of the institution and setting a sufficient budget. These two elements will be considered in more detail later in this chapter.

LOCATING THE ARCHIVES

Within the Institution

Thoughtful and strategic placement of the archives within the organizational hierarchy is crucial for its effective operation. In both an academic and a public library environment, some of the functions of the archives require interacting with the entire community, not just library colleagues. The organizational placement of the archives should assure both its relative independence and its ability to be successfully supported by higher authority.

A sample of the organizational charts of thirty academic institutions (twenty-seven universities and three colleges) found that twenty-eight archives were under library administration.⁵ In one of the

remaining two, the archives department reported to the provost and senior vice president of academic affairs (as did the dean of library services). In the other, the archives and records management department resided in the controller's office and reported to the vice president for finance.

When deciding where to place the archives within the academic structure, key issues revolve around the mandate and mission of the archives as well as its size, the maturity of the program, the size of the parent institution, and the scope of the archives' responsibilities. If the mandate includes records management, for example, the archivist will need to work directly with administrative departments at all levels within the organization and so needs to be either in a position of authority in relationship to those departments or to report directly to a person who has that authority.

Likewise, if the archivist is charged with preserving the records of the organization, then she or he should be able to function on equal terms with the technical professionals determining the organization's information management systems. The archivist will also have some legal responsibilities (e.g., signing deeds of gift, destroying records, etc.). While it may be tempting to place the archives several layers under the library director, as in several of the configurations above, this might make it impossible for the archivist to be effective, especially as a program grows. While organizational placement can strategically promote functions and operations, it can also foster cooperative activities:

Archivists Talk About Organizational Structure

I do believe that the issues of governance and where an archives is in an organization are extremely critical for its functioning.

— Academic Archivist

Because we do serve the entire campus, there are certainly some advantages to reporting to a senior administrator or somebody at the higher level of the administration . . . in terms of getting support from the upper-level administration. However, what we have seen—as part of the library now—and because our focus has really been stepped up in terms of instructional support . . . we are more and more involved in digital work and digital collections [and] we have a great working relationship with the rest of our colleagues in the library when we are collaborating to do these things, either teaching or [working on] these digital collections.

— Academic Archivist

Within the Library

While a direct line between the archives and the decision-making authorities of the institution is most desirable, placement of the archives within the library can have many advantages as long as the library director is willing to become well informed about the archives, its scope, its needs, and its potential and is ready to support its records management functions. Integrating the archives into the overall mission of the library can benefit both the archives and the library. An important part of establishing an archives is the recognition by the library director and staff that the archives is a valuable addition to the library and the overall institution. In many institutions' organizational charts, the archivist was fairly high up in the library hierarchy, reporting directly to the library director; in some,

the archivist was located several layers below the library director. Of the sample's twenty-eight archives under library administration, there were three main organizational structures:

1. The library director directly supervised the archivists (two cases)
2. The library director supervised the head of the special collections/archives department, who in turn supervised the archives staff (seventeen cases)
3. The library director supervised an associate director or associate university librarian, who supervised the head of the special collections/archives department, who in turn supervised the archives (nine cases)

In scenarios 2 and 3 above, the college/university archivist supervised the special collections/archives units.

But placement of the archives within the organizational structure and clarifying the relationships between the archives and the rest of the library is only the first step in establishing the archival program. Locating the archives within the library requires resources, including a suitable, climate-controlled space for collections, one that has the structure to support physical weight and that can be secured. The space will need a large work area, a reading room, adequate storage, and clearly delineated workspaces and offices for the archivists. The space must be populated with staff, equipment, and supplies in addition to the content of the archives itself. Processed and unprocessed materials should be kept in secure spaces with environmental controls and limited access.⁶ Early on, consideration should be given to appropriate off-site storage to accommodate a growing collection. Equally important is planning space and equipment to accommodate digital materials.

PLANNING: THE ROLE OF CONSULTANTS

Starting an archives often begins with hiring a consultant to assist with an initial assessment and plan. Yakel writes that although "archival consultants can be called in at any stage in the development or management of an archival program . . . they are often called in to assist in the initiation of an archival program."⁷ A consultant can assess the institution's need for an archives, evaluate the institution's ability to support one, and help the institution plan it. A consultant can also advocate for the archives with the institution.

The expert view that a consultant brings may be critical to demonstrating the value that a strong archival program contributes to an institution and in estimating needed support. Consultants "do not have preconceptions and biases and can usually see the overall situation objectively. This means they can say things that may be interpreted as critical within an institution without fear of being penalized. A consultant is more likely to point out situations that need to be changed even if the change is an unpopular one."⁸ In addition, an external consultant not only brings professional credibility but also brings experience from other similar situations.

"Selecting an archival consultant can often be as difficult as hiring an archivist," counsels Yakel.⁹ Guidance on finding a consultant is available through professional associations and through the websites of state archives.¹⁰ When hiring a consultant, it is important to specify the task in as much detail as possible, as well as give access to a wide range of constituencies so that the consultant can assess both the need and the potential use.

MANAGING THE ARCHIVES

After the archives has been located within the organization, the next step is considering how the new archives will be managed. The substantial professional literature on the management of archives offers detailed insights on all aspects.¹¹ Four of the most critical elements for setting this new archives on the path to success are hiring the right personnel, acquiring financial support, creating adequate and secure facilities, and establishing policies and procedures.

Hiring Personnel

An Archivist

Hiring a professional archivist—hiring the right archivist—is key to the success of the archives. While the library director may be tempted to reassign or promote a librarian who is already on staff, library directors interviewed invariably pointed to the importance of hiring a person with archival knowledge who has received formal archival training.

Library Directors Talk About Hiring Personnel for the Archives

Question: How do you hire personnel and promote the archives within the larger parent organization?

By trying to hire people who were properly trained . . . I learned what I needed to know. What I need to know is what the resources [are] that are needed to support the collection. I don't need to know anything, really, about running the archives or managing the archives.

— Public Library Director

How do I promote it [the archives]? First by hiring good people, with a strong sense of outreach and presence. If we have an archivist, or a director of archives, who wants to sit back in [his or her] office, I've made a mistake. So . . . make sure that we have people there who are inclined to talk about their work with other people, who are inclined to go visit others in their offices.

— Academic Library Director

The first thing you need to do is hire a person who knows what they're doing in this area [archives]. There has to be a certain direction that you want to take things in. I mean, it can be primarily local history, or it could be primarily genealogy . . . there needs to be a focus and a reason that material is being collected and material is being preserved. I think library directors have to know the importance of proper preservation and having people who know what they're doing because it's certainly not something you're born knowing.

— Public Library Director

Advice on how to hire an archivist abounds on the websites of archives associations as well as archival institutions. For example, the New England Archivists suggest that, in addition to the appropriate educational credentials (a graduate degree from a library/information school or history department that offers an archives concentration), an individual should have “the research and analytical ability to understand the content of records, as well as the context in which they were created.”¹² They recommend a high comfort level with technology, digital competencies, an ability to work with electronic records and databases, and excellent writing skills. In addition to these technology skills, Jennifer Wright, writing for the Smithsonian Institution Archives, adds “applicants who can work both independently and on a team; demonstrate strong research and writing skills; exhibit attention to detail; are creative problem solvers; and show a natural curiosity.”¹³

For financially hard-pressed institutions that may be tempted to double-up on job responsibilities, one archives and records management consultant recommends that the person hired be dedicated solely to that position. He suggests that, “it is critical that the person managing the archives clearly understands the methods of processing, preserving and providing access to collections. Ideally your organization should hire a well-trained archivist whose sole responsibility is archiv[es] and managing your organization’s historical records of continuing value.”¹⁴

Archives Staff

In Chapters 4 and 5, the tasks and daily work of archivists were described in some detail, together with the approximate time it might take to process a collection as a workflow example. Regardless of the time any task might take, the number of professional staff members in the average academic archives or local history collection tends to be small by comparison with other units in a library. Each department of an academic library or a large public library is generally manned by at least one professional who is dedicated to that particular library service, be it reference, acquisitions, systems, interlibrary loan, or technical services—even if there is also cross-training and overlap at times. Each professional is likely to be working with assistants or other paraprofessionals.

As a department of the library, the archives may initially include the university archivist or other archivists but will probably not include a professional for each archival function unless the work of the archives greatly expands. Even if the work expands, some academic archives and many local history collections continue to have a “lone arranger,” a single professional archivist who is a jack-of-all-trades and implements all the different functions of the archives. *Lone arranger* is the term used by archivists to describe those archivists who “work alone or with only part-time or volunteer staff.” As a lone arranger in a small academic archives notes, “small repositories and ‘lone arranger’ shops make up a large percentage of archives within the United States.”¹⁵

While the multiple facets of archival work are one of the attractions of the job, library directors will note that those multiple facets can also become overwhelming, especially when an archivist works alone. Amid the complexities and variety of the day-to-day work, an archivist is often performing the tricky balancing act of trying to fulfill the needs of the users while managing the other needs of the collections. This situation is common but far from ideal.

The archivists interviewed for this book all worked at thriving institutions. Of the seven academic archives, staffing ranged from one to five full-time professionals. Of the five local history collections, the range of staff was one to five, although not all were professionally educated archivists. All felt that more staff would be necessary to address growing demands and expectations.

An Archivist Talks About Staffing

Question: So in terms of staffing, is it just you and interns staffing the archives?

Yes, it's me and interns . . . archivists can always use more help just because the nature of processing [is that it] takes so long [to complete]. And I don't have the time to dedicate to just processing. I . . . put two hours aside to just process. And as you know, it can be challenging to process a collection in little two-hour spurts. The collections don't get processed as quickly as I would like, because I have a lot of responsibilities other than just processing collections. There is a large book collection that needs to be cataloged and cleaned. There are the researchers who come in. The room is open sixteen hours a week. There are reference questions, there are all the other projects I'm working on—exhibits, digital projects. I'm out in the community rather frequently. I always think some [more] staffing could be helpful.

— Archivist, Local History Collection

Budget

Financial stability is a key to sustaining a new archives. The archives will need an operating budget and the archivist should prepare one and submit it to the library director. Initially, perhaps the most important thing about an operating budget is not the amount itself but that an amount exists as a regular line item in the library's budget. This ongoing commitment is critical in an archives where the permanent nature of the collections means that they will need to be maintained over time. In fact, if a certain level of resources cannot be assured, then the archivist must think long and hard about acquiring new collections. "It is essential to have a budget to run a service, and caring for archives must always be considered a long-term investment, given that we seek to secure their indefinite existence and protection," writes archival consultant Caroline Williams, adding that, "you cannot deliver a good service if you cannot rely on year-to-year funding; you can only plan for short-term goals."¹⁶

Funding for an archives is generally received from two major sources: the parent institution and outside funding such as gifts or grants. In the United States there are several federal granting agencies that support archival projects, including the National Historical Publications and Records Commission (NHPRC), the Institute of Museum and Library Services (IMLS) and the National Endowment for the Humanities (NEH).¹⁷ However, grant projects tend to be short-term and very specific and do not support operating expenses. Soft funding should never be relied on to sustain day-to-day archives operations. Instead, institutions should consider targeting special archival projects (for example, the processing or digitization of a particularly prominent or complex collection) as part of their fundraising efforts.

Facilities

The word *archives* not only refers to the records but also to the place in which they are kept. The Greek word *archeion*, the origin of the word *archives*, likewise refers to both of these meanings, indicating perhaps that the space cannot be separated from its contents. If the archives are not housed, preserved, and protected in safe and secure spaces, then they may lose their integrity and value as archives. The archives profession has developed certain standards for the facilities housing physical archival materials. These standards cover the following topics:¹⁸

- **Climate Control:** Constant temperature and humidity need to be maintained, with a lower temperature for storage and a slightly higher one for public and staff areas
- **Fire Prevention:** This should include installation of a suppression system
- **Collection Storage:** There needs to be appropriate shelving and none or few windows with low-level lighting
- **Security System:** There should be protection against unauthorized entry and a separate public reading room that can be monitored
- **Public and Work Spaces:** There need to be distinct work areas for processing collections and office space, as well as a clearly defined area for public research

Creating Policies and Procedures

Although policies and procedures often evolve over time, it is important for a new archives in a library to define itself immediately to manage the expectations of both administrators and users. With a clientele that is accustomed to library environments of open stacks, ready reference, online catalogs, and the ability to borrow materials, the archives or local history collection may be new and even intimidating territory. Because the archives is physically set in the library, patrons may assume that its policies are similar. From the outset, the archives should develop a formal policy statement that “outlines its mission, responsibility and authority in relation to its parent institution.”¹⁹ The policy should clearly state the archives’ purpose and goals, including what it collects and makes available, as well as noting its primary audience and its regulations regarding use (e.g., copying, scanning, reference requests, etc.).

ARCHIVES IN LIBRARIES: BENEFICIAL ADDITIONS

Starting an archives is a complex endeavor, not to be undertaken lightly. Once started, it must be managed with sufficient resources to sustain it over the long term. Once established, however, the gains to the library will outweigh the challenges. Interviews with library directors affirmed the positive contributions of the archives as components of their libraries.

Library Directors Talk About the Archives in the Library

Question: Does the archives fit well in the library, or would it fit more effectively in another part of the organization?

There's a tension, I would say, between where you put resources [and competing] priorities. But there's also this real symbiotic relationship with our interest in [a] partnership, especially around the area of digitization and curated collections. [The] archives and special collections are seen as the gold mine and that's, I think, the growth area for the relationship between [the] university's library and archives.

— Academic Library Director

I always knew, I would say, as a director . . . that the archives were important, and it always frustrated me that we did so poorly at it. What I see in the future, actually, as more contemporary material gets distributed electronically, I actually see the acquisition of archives being a place of growth in the facility. As the book space may shrink or the DVD space might shrink, I actually see the archives space probably increasing and maybe even the staff [too].

— Public Library Director

Well, in our case right now I think it's a really good fit. The archives has not always been a part of the library, if you look back. Our college archives was founded in the early 1960s. I think the first time we really had an appropriate kind of home for the archives was in 1974 when our current main library building was constructed . . . and for . . . most of the history of the archives, the reporting has been outside the library . . . even though the archives is located on the fourth floor of the main library building and it's right adjacent to our special collections. The two units share—or have historically shared—a reading room and if you look at things in that historical context I think a lot of what makes an archives either fit or not fit within a library context would be . . . physical location . . . but I also think the cast of characters plays a part. I think that if you have both a library director and a college archivist who are comfortable with it, then my feeling is that having the archives be a part of the library and report within the library is the optimal structure.

— Academic Library Director

NOTES

- ¹ Elizabeth Yakel, *Starting an Archives* (Chicago: Society of American Archivists and Scarecrow Press, 1994), 7.
- ² *Ibid.*, 8.
- ³ Archives Association of British Columbia, *A Manual for Small Archives* (Vancouver, B.C.: Archives Association of British Columbia, 1988, partially revised 1994, 1999).
- ⁴ Some sample mandates can be found in Chapter 4.
- ⁵ The authors conducted this informal survey by searching academic library organizational charts online. Institutions included both colleges and universities and varied geographically throughout the United States.
- ⁶ Although facilities will be considered later in this chapter, it should be noted that there are recommended standards for archival spaces. See Michele F. Pacifico and Thomas P. Wilsted, *Archival and Special Collections Facilities: Guidelines for Archivists, Librarians, Architects, and Engineers* (Chicago: Society of American Archivists, 2009).
- ⁷ Yakel, *Starting an Archives*, 12.
- ⁸ Pam Hackbart-Dean, "If One Wants a Good Result, One Needs a Good Consult," *Provenance* 25 (2007): 3–14.
- ⁹ Yakel, *Starting an Archives*, 12.
- ¹⁰ The Society of American Archivists maintains a list of archival consultants at <http://www2.archivists.org/consultants>, as do various state archives, such as that of New York, http://www.archives.nysed.gov/a/records/mr_hrecords_cons_arconsultants.shtml, and California, <http://www.sos.ca.gov/archives/ed-resources/consultants-list.htm>.
- ¹¹ Some useful texts in this area include Michael Kurtz, *Managing Archival and Manuscript Repositories* (Chicago: Society of American Archivists, 2004); and Caroline Williams, *Managing Archives: Foundations, Principles, and Practice* (London: Chandos Publishing, 2006).
- ¹² New England Archivists, "Would you like to hire an archivist?" Archives FAQ, accessed March 14, 2015, <http://newenglandarchivists.org/faq>.
- ¹³ Jennifer Wright, "Some Archival Career Advice," Smithsonian Institution Archives, April 26, 2012, <http://siarchives.si.edu/blog/some-archival-career-advice>.
- ¹⁴ Allen Podraza, "Starting an Archives," *Records and Archives Management*, October 23, 2010, <http://www.recordsandarchivesmanagement.com/2010/10/starting-archives.html>.
- ¹⁵ Christina Zamon, *The Lone Arranger: Succeeding in a Small Repository* (Chicago: Society of American Archivists, 2012), 1.
- ¹⁶ Williams, *Managing Archives*, 216.
- ¹⁷ See the websites of the National Historical Publications and Records Commission, <http://www.archives.gov/nhprc/>; the Institute of Museum and Library Services, <http://www.ims.gov/>; and the National Endowment for the Humanities, <http://www.neh.gov/>.
- ¹⁸ For more information, see Pacifico and Wilsted, *Archival and Special Collections Facilities*; and Thomas Wilsted, *Planning New and Remodeled Archival Facilities* (Chicago: Society of American Archivists, 2007).
- ¹⁹ Kurtz, *Managing Archival and Manuscript Repositories*, 50.

Part III



Considering *the* Issues

Archival Ethics



VIGNETTE: COPYRIGHT AND THIRD-PARTY PRIVACY—AN ETHICAL DILEMMA IN THE ARCHIVES

The Lawrence Archives was part of the Lathrop University Library system and housed in its main building. In response to user requests, and with the support of the library director, the archivist had been making an effort to digitize important collections and showcase valuable and unique materials from the archives. Specifically, the director was encouraging the archivist to digitize the papers of a nationally known faculty member whose 85-cubic-foot collection contained extensive correspondence with many prominent individuals around the world. Although this would be an expensive project, the library director was confident that the university development office would be enthusiastic about fundraising for such an important collection that would bring positive attention to the university and the library, particularly because of the recent dates of the materials.

The archivist became concerned about potential copyright and privacy issues in digitizing the entire collection and brought these issues to the director's attention. Although the donor had signed a gift agreement transferring ownership and copyright to the university, copyright permission did not apply to the correspondence written by others to the faculty member. In addition, digitizing and making public some of the letters might violate the privacy of living individuals whose correspondence with the faculty member often included personal and even intimate concerns.

It was a large collection; contacting the hundreds of correspondents to request permission to digitize would add significantly to the cost of the project, more than the development office could support. Yet it seemed a shame to pass up such a wonderful opportunity to publicize the archives' collections. Should the library take the risk and consciously violate copyright and privacy? Should the archives sort all the correspondence and try to choose only a few items, in effect, creating an exhibit rather than digitizing the whole collection? Should they manage the risk by posting a "take-down notice" that would provide distressed correspondents a way to request that their particular letters be removed? Overall, what level of risk was the library and the institution willing to tolerate? These were policy decisions that the library director had to make with the archivist's advice.



Ethical principles, ethical policies, ethical codes, ethical conduct—ethics in all their manifestations and from all perspectives are at the heart of the archives and library professions and constitute the bedrock on which their integrity and trustworthiness stand. Indeed, the credibility and even survival of libraries as trusted informational spaces and of archives as trusted repositories centers around their adherence to ethical principles. Yet, as Elena Danielson notes, "Archives are inherently different from books in that the ethical space they occupy is fundamentally ambiguous."¹

The websites of national and international associations for both professions are peppered with ethical issues, ethical protocols, and ethical advice. From the American Library Association's (ALA) "Freedom to Read" statement² to the open access support in the "Universal Declaration on Archives" issued by the International Council on Archives in 2011,³ ethical issues have figured publicly and prominently in the narratives that these professions create for themselves. Both professions historically have been at the forefront of defending and fighting for ethical beliefs and this activism is one of the enduring forces that binds them together.

While basic ethical principles such as intellectual freedom, equitable service, and the right to privacy underlie both professions, their approaches to these issues differ in accordance with the materials they manage, the environments in which they work, and the use they expect to provide. With overriding service priorities, librarians focus on the ethics of sharing information—making all information sources openly and equally available—and on professional behavior, or, applying "ethical principles to our decisions and actions as information professionals."⁴ With overriding legal and institutional commitments to their materials, archivists seek to balance responsibility for ethical access with the competing and often conflicting claims of collections, workplaces, donors, and users.

For archivists, the inherent tension between the needs associated with the materials and the needs associated with users constitutes the majority of ethical conflicts and issues. Speaking of the similarities and differences between archivists and librarians, Elena Danielson, author of *The Ethical Archivist*, points out that although both professions "advocate promoting the maximum use of materials . . . librarians facilitate use of the materials that the authors intended to have circulated as widely as possible. . . . Archivists also facilitate the use of materials, but the authors may not have expected their texts to be read by others at all."⁵

This chapter focuses on ethics from an archival perspective while also addressing similarities and differences in ethical approaches between the archives and library professions. It examines the

concerns and priorities of libraries and archives, as well as how different perspectives may impact policies and management when the archives is a component of a larger library environment. As evidenced in the interview comments below, library directors, while disposed to be sympathetic toward ethical issues, may need some guidance in understanding them within an archival context.

Archivists Talk About Ethical Issues

Question: Have you ever had any ethical issues that you've dealt with? And if so, would you work with the library director to work through some of those issues?

Yes, if it's something that is in a collection that we are concerned about making accessible, [or] if there is something in terms of how someone wants to use our holdings, or a question [of whether] we can use [a collection] for a certain thing . . . we have discussions with the director and perhaps somebody else on campus who might be [appropriate].

We have certain situations where we work with our office of communications . . . the office of the legal counsel . . . the development office, our alumni association or even the office of the president. I have experience in working with all of these offices.

— Academic Library Archivist

We have a lot of issues in terms of access, privacy, and donor relations that do require me to go to [the library director]. It's a pretty easy thing for me to do.

— Public Library Archivist

FINDING AN ETHICAL PERSPECTIVE

Thinkers and writers on ethics seem to agree that the onus for ethical behavior ultimately rests upon the individual. Toni Carbo and Stephen Almagno, for example, note that professionals working in cultural heritage and other information-related institutions “must first learn to develop and hone their own individual sense of ethics, live an ethical life and be educated about ethical issues in their professional life.”⁶ To be that ethical archivist or ethical librarian requires not only a basic understanding of ethics but a strong ethical sensibility.

Ethics has been variously defined as “a set of moral principles: a theory or system of moral values,”⁷ “a set of principles of right conduct,” and “the rules or standards governing the conduct of a person or the members of a profession.”⁸ As a branch of moral philosophy that has its origins in ancient Greece, the word *ethics* comes from the Greek word *ethos*, meaning “character.” However, more than good character is needed to be an ethical person. As Richard Paul and Linda Elder write, “mere verbal agreement on ethical principles alone will not accomplish important moral ends nor change the world for the better. Ethical principles mean something only when manifested in behavior. They have force only when embodied in action.”⁹

Ethical theories generally derive from two ways of moral thinking: teleological and deontological. Information scholar Richard Mason and his co-authors Florence Mason and Mary Culnan define teleological ethical theories as those that “focus primarily on the consequences, results, ends, goals or purposes of agents’ acts . . . they center either on the agents themselves or on the agents’ actions.”¹⁰ The moral “rightness” of an action is judged in terms of an external goal or purpose. Mason, Mason,

and Culnan go on to define deontological ethical theories as those that “center on the act taken by the agent and the duties, rights, privileges or responsibilities that pertain to that act.”¹¹ In this approach, it is the features of the action itself that determine the moral “rightness.”

Regardless of the ethical theory, as Mason, Mason, and Culnan suggest, “every new age ushers in a new set of ethical challenges and problems for people to solve.”¹² For American librarianship, the focus of ethical debate has shifted several times. Library educator Richard Rubin points out that before the 1930s, ethical concerns centered around the nature of collections; between 1930 and 1950, with access and with the ways in which both staff and users should be treated; and, since 1960, a more outward, socially conscious concern with the public good and social justice.¹³ Archivists have followed a similar trajectory but on a slightly different timeline. Focus on collections and collecting characterized archival practice until the 1980s, concerns over use and users was paramount in the late twentieth century, while social policies and social justice issues are increasingly the ethical questions of the twenty-first century.

Rapid innovations in information technologies dramatically change the ways in which society acquires, creates, disseminates, and uses information. Mason, Mason, and Culnan point out that “as the ascent of information accelerates and as we become more fully entrenched in an information society, our ability to become ‘good’ citizens and contribute to a ‘good’ society changes. It becomes increasingly dependent on our ability to make the right judgments when issues concerning information confront us.” Nowhere is that truer than in the archival realm, where the increased affordances of the digital environments and subsequent privacy issues for both institutional and personal record keeping have heightened the complexity and the need for ethical decision making.

CODES OF ETHICS

Rubin suggests that “almost every LIS [Library and Information Science] professional at some time will be confronted with an ethical issue.”¹⁴ For this reason, codes of ethics are prominent and critical components of the information professions. Most professions have codes of ethics. Generally developed by professional associations, codes of ethics establish the ethical practices of a profession, defining what ethical behavior means within the particular context of that profession. Codes of ethics are the means by which the profession communicates its ethical principles, both to the members of the profession and to the world at large. Codes of ethics are designed to protect, support, and guide members of a profession in their ethical decisions. Often aspirational rather than prescriptive, a code is a pathway and a guide to making ethical decisions.

Codes of ethics are seldom as effective as they should be, primarily due to the difficulties of enforcement, but each profession’s code of ethics nonetheless presents the standard of ethical behavior that is supported by that profession and proclaims a particular ethical set of principles to those outside that profession. Sociologist Eliot Freidson observes that “a great many professional associations have a formal code of ethics, but few have any really viable machinery by which to search out violations and undertake effective actions to correct them.”¹⁵

For the archives profession, codes of ethics are key to promoting the public trust that is so essential for an archives to fulfill its mission. Archivist Glenn Dingwall notes that “if the goal of such activities [archives and records] is to buoy public faith in the trustworthiness of archival institutions

and the people who work there, they must be able to make reference to codified ethics in order to proffer a justification for that faith.”¹⁶

Archives organizations in countries around the world have codes of ethics. Many are modeled on the code approved by the General Assembly of the International Council on Archives in 1996. Providing both principles and commentaries, the ICA code succinctly states as its purpose that, “A code of ethics for archivists should establish high standards of conduct for the archival profession. It should introduce new members of the profession to those standards, remind experienced archivists of their professional responsibilities and inspire public confidence in the profession.”¹⁷

Although the ICA code covers a wide range of archives issues, the emphasis is on protecting and maintaining the integrity of records, clearly signaling that this should be the primary concern for archivists. Protecting and maintaining the integrity of records often implies more than passive custody or stewardship and may involve proactive measures that might put archivists in conflict with their own institution. The first item of the ICA code reflects that concern:

Archivists should protect the integrity of archival material and thus guarantee that it continues to be reliable evidence of the past.

The primary duty of archivists is to maintain the integrity of the records in their care and custody. In the accomplishment of this duty they must have regard to the legitimate, but sometimes conflicting, rights and interests of employers, owners, data subjects and users, past, present and future. The objectivity and impartiality of archivists is the measure of their professionalism. They should resist pressure from any source to manipulate evidence so as to conceal or distort facts.¹⁸

In a similar vein, the Society of American Archivists (SAA) Code of Ethics emphasizes this advocacy role as well its aspirational nature. The introduction sets the tone:

As advocates for documentary collections and cultural objects under their care, archivists aspire to carry out their professional activities with the highest standard of professional conduct. The behaviors and characteristics outlined in this Code of Ethics should serve as aspirational principles for archivists to consider as they strive to create trusted archival institutions.¹⁹

Ethical codes, as guides to the conduct of archivists, offer advice and even prescriptions for behavior but do not offer specific solutions. And this is as it must be. The limitless landscape of ethical questions and dilemmas, the range of perspectives of different institutions and organizations, and even the variety of contexts suggest that ethical codes are guides to ethical behavior rather than solutions in themselves. While codes function as much to build public trust as they do to create archival confidence, Dingwall cautions that “merely assuring the public that a code of ethics exists is not sufficient to warrant that trust. It must be demonstrated that archivists are adhering to the standards embodied within the code. The code must also be accessible to the public so that the public can verify for itself that the standards and practices enshrined within truly do serve its best interests.”²⁰

Having a professional code does not guarantee ethical behavior and does not exempt information professionals from continually questioning and analyzing facts and circumstances in light of its provisions. In fact, professional codes are really just the beginning of the ethical process, stating general principles but not offering prescriptions or answers. Interpreting the principles and applying them to specific situations is left to the individual.

Comparing the ALA and SAA Codes of Ethics

Placed side by side, the ALA code and the SAA code demonstrate many similarities but also some distinct differences. While the ALA code emphasizes equal access, unbiased service, and the user's right to privacy, the SAA code focuses on the protection of materials to ensure authenticity, security, preservation, and respect for the privacy of third parties. Both codes express concern for equitable and fair access, respect for professional relationships, and not taking advantage of privileged information.

While both uphold the principles of intellectual freedom and access to information, the SAA code tempers access with the need to balance the privacy of multiple constituents. While the ALA code of ethics immediately looks outward to service to the user, the SAA code first looks inward to the profession itself as well as to the protection of the materials and then brings the user in as one of several constituents.

A statement of core archival values precedes the SAA Code of Ethics. As the website explains, both values and ethics work together, and "statements of ethics emerge from the core values of a profession . . . the former is a statement of what archivists believe; the latter is a framework for archivists' behavior."²¹ ALA also includes a statement of its core values on its website, but these are linked to ethics through common issues.²² Table 7 illustrates the similarities and differences in the ethical codes of these two professional associations.

Table 7. The ALA and SAA Codes of Ethics: A Comparison

American Library Association Code of Ethics	Society of American Archivists Code of Ethics
Service to Users: Provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests	Access and Use: Recognizing that use is the fundamental reason for keeping archives, archivists actively promote open and equitable access to the records in their care within the context of their institutions' missions and their intended user groups. They minimize restrictions and maximize ease of access. They facilitate the continuing accessibility and intelligibility of archival materials in all formats. Archivists formulate and disseminate institutional access policies along with strategies that encourage responsible use. They work with donors and originating agencies to ensure that any restrictions are appropriate, well documented, and equitably enforced. When repositories require restrictions to protect confidential and proprietary information, such restrictions should be implemented in an impartial manner. In all questions of access, archivists seek practical solutions that balance competing principles and interests

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American Library Association Code of Ethics	Society of American Archivists Code of Ethics
Intellectual Freedom: Uphold the principles of intellectual freedom and resist all efforts to censor library resources	Professional Judgment: Exercise professional judgment in appraising, acquiring, and processing materials to ensure the preservation, authenticity, diversity, and lasting cultural and historical value of their collections. Archivists should carefully document their collections-related decisions and activities to make their role in the selection, retention, or creation of the historical record transparent to their institutions, donors, and users. Archivists are encouraged to consult with colleagues, relevant professionals, and communities of interest to ensure that diverse perspectives inform their actions and decisions
Right to Privacy: Protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired, or transmitted	Ensuring Privacy: Recognize that privacy is sanctioned by law. They establish procedures and policies to protect the interests of the donors, individuals, groups, and institutions whose public and private lives and activities are recorded in their holdings. As appropriate, archivists place access restrictions on collections to ensure that privacy and confidentiality are maintained, particularly for individuals and groups who have no voice or role in collections' creation, retention, or public use. Archivists promote the respectful use of culturally sensitive materials in their care by encouraging researchers to consult with communities of origin, recognizing that privacy has both legal and cultural dimensions. Archivists respect all users' rights to privacy by maintaining the confidentiality of their research and protecting any personal information collected about the users in accordance with their institutions' policies
Intellectual Property: Respect intellectual property rights and advocate balance between the interests of information users and rights holders	Security and Protection: Protect all documentary materials for which they are responsible. They take steps to minimize the natural physical deterioration of records and implement specific security policies to protect digital records. Archivists guard all records against accidental damage, vandalism, and theft and have well-formulated plans in place to respond to any disasters that may threaten records. Archivists cooperate actively with colleagues and law enforcement agencies to apprehend and prosecute vandals and thieves
Respect Colleagues: Treat coworkers and other colleagues with respect, fairness, and good faith, and advocate conditions of employment that safeguard the rights and welfare of all employees of their institutions	Professional Relationships: Cooperate and collaborate with other archivists, and respect them and their institutions' missions and collecting policies. In their professional relationships with donors, records creators, users, and colleagues, archivists are honest, fair, collegial, and equitable

Table 7 con't

American Library Association Code of Ethics	Society of American Archivists Code of Ethics
Fair and Unbiased Service: Distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources	Trust: Do not take unfair advantage of their privileged access to and control of historical records and documentary materials. They execute their work knowing that they must ensure proper custody for the documents and records entrusted to them. Archivists should demonstrate professional integrity and avoid potential conflicts of interest. They strive to balance the sometimes-competing interests of all stakeholders
Not Advancing Private Interests: No advancing private interests at the expense of library users, colleagues, or our employing institutions	Authenticity: Ensure the authenticity and continuing usability of records in their care. They document and protect the unique archival characteristics of records and strive to protect the records' intellectual and physical integrity from tampering or corruption. Archivists may not willfully alter, manipulate, or destroy data or records to conceal facts or distort evidence. They thoroughly document any actions that may cause changes to the records in their care or raise questions about the records' authenticity
Professional Excellence: Strive for excellence in the profession by maintaining and enhancing our own knowledge and skills, by encouraging the professional development of coworkers, and by fostering the aspirations of potential members	

ETHICAL ISSUES FOR ARCHIVISTS

There are many ethical issues that archivists, particularly those working within an academic environment, may face on a daily basis. Chances are that a library director will be drawn into helping resolve many of these issues because they often involve institutional policy as well as outside actors. Issues of donors, third-party privacy, equal access, preservation, copyright, and responsible use are constantly challenging because of the various constituents with whom archivists work and to whom they are accountable.

In addition to these daily concerns are more far-reaching issues, such as social justice, accountability, and the implicit responsibility to document all aspects of an institution or an environment. Elena Danielson identifies seven critical areas that present ethical dilemmas for archivists, including acquisitions, disposal, access, proprietary information, privacy, authenticity and displaced documents.²³ Some of these issues may apply only marginally to archives in academic institutions or public libraries, but most will have far-reaching implications for collections, donor relations, and use.²⁴

The following vignettes illustrate some of the issues that will inevitably involve both the archivist and the library director. In the first example, the ethics of fair and equitable use are directly challenged. At the same time, this case illustrates why the materials themselves may dictate important distinctions between the ethical challenges of the archives and those of the library.



VIGNETTE: FAIR AND EQUAL ACCESS

A long-standing member of the Korman College Board of Trustees retired and sent his records to the archives. The records included extensive information about the Korman community debates over South African divestiture in the mid-1980s. A staff member of the student newspaper, hearing about the gift, was eager to write about the divestiture and asked the archivist for permission to use the collection. Citing the fifty-year restriction on access to board of trustees' records, the archivist regretfully denied access. The student was unhappy, but recognizing that this was standard policy, accepted the decision.

Several months later, a prominent historian unconnected to Korman contacted the archivist asking for access to the same divestiture materials. The archivist again denied access. This time, however, the historian contacted his good friend, the president of the college, who obligingly contacted the library director and requested access to the collection for the historian. The library director met with the archivist to decide what to do. While it would be difficult to say "no" to the president, the policy was clear.

Should the library director and the archivist make an exception for the historian? Should they offer access to the historian and the student? Or should the restriction policy on the board of trustees' records be revisited altogether? The library director and the archivist consulted both the SAA and the ALA Codes of Ethics.

The codes promoted equal access, but they also protected privacy. The library director and archivist decided to revisit the restriction policy to determine whether or not the time restriction was reasonable and whether some information could be shared if it was redacted. They also decided that if access was permitted, it must be given equally to both the historian and the student.



The second example demonstrates how seemingly straightforward donations can lead to ethical dilemmas for both the archivist and the library director.



VIGNETTE: DONATIONS AND THIRD-PARTY PRIVACY

Professor Paul Smith had been talking to the college archives about donating his personal and professional papers, but he died before signing a gift agreement or resolving any of the privacy issues that were beginning to surface in the conversations with the archivist. The professor's children were his heirs. Although they lived in another part of the country, they honored his wishes for donating the papers by packing up the materials in his office and home and giving them to the college archives. Eager to get the situation resolved and behind them, they asked to sign the gift agreement immediately, assigned the copyright to the archives, and insisted on opening the collection and giving complete access to users so that they would not be bothered by questions from researchers in the future. The children also made clear that they did not want to communicate further with the archives once the collection was donated.

While accessioning the collection and preparing it for processing, the archivist discovered printouts of family e-mail messages with considerable personal and potentially embarrassing information between Smith, his late wife, and the children over a period of many years. In addition, there was extensive e-mail with students and alumni, some of it discussing personal problems and difficulties with classes. Although the children had made their wishes clear, it was also clear that they had not looked at this material. Aside from the family records, there were also questions of institutional policy that closed student records less than eighty years old and of the third-party correspondence from students and alumni that had no voice in this decision on access.

The archivist took this issue to the library director and together they identified their concerns: Should they contact the children even though they had made it clear they no longer wanted to be involved? Should they open the family correspondence but close the other correspondence for fifty to seventy-five years to protect innocent third parties? Should they open the correspondence as the gift agreement allowed? The SAA Code of Ethics offered some guidance. Not only did it specifically protect third-party privacy but it counseled archivists to use their professional judgment. After reviewing the materials, the code, and the gift agreement, the library director and the archivist decided to close all material dealing with students and alumni that was less than 80 years old and were still considering whether to contact the donors about the family material.



ETHICAL ARCHIVISTS AND LIBRARIANS

Danielson suggests that “knowingly or unknowingly, archivists encounter ethical issues that are not amenable to easy answers . . . formulating the right question is more important than a hasty effort at pat solutions.”²⁵ She advises archivists to find the balance between many possibly competing interests. As the vignettes illustrate, the ethics of the archives must also be of great concern to the library that will house and maintain the material and ultimately take responsibility for it.

It may be axiomatic to point out that ethics are to a great extent driven as much by the kinds of materials that librarians and archivists work with as by their professional cultures. At the same time, the overall ethical goals of both are similar in important ways—equal and unbiased access and protecting privacy. For the library director the challenges lie in harmonizing these two perspectives and in recognizing how both work together to uphold the integrity of the institution.

An Archivist Talks About Ethical Similarities Between Archives and Libraries

There is a clear dichotomy between the kind of openness, access [and] ethic of the librarians and the ethic of the archival community which is very similar, but does include the proviso that we live by statute [and] by donor agreement. There are privacy issues that are not associated with books about which we have to be concerned.

The archives here are so open that it's not hard for the librarians to understand [our challenges]. I don't think it's hard at all to understand the differences in ethical constructs—[they are] easily explained.

But ultimately, we require no means test to get into the archives. The only prohibitions are the classic ones: if there is a donor agreement or if there is statutory language. We never restrict a collection on our own volition. In other words, a processing archivist would never have the authority to close a portion of the collection that was not otherwise closed by donor agreement. Just because that archivist found something that the archivist felt uncomfortable about, that would be anathema to our basic perspective on open access.

— Archivist, Local History Collection

NOTES

- ¹ Elena Danielson, *The Ethical Archivist* (Chicago: Society of American Archivists: 2010), 7.
- ² American Library Association, "The Freedom to Read Statement," last amended June 30, 2004, <http://www.ala.org/advocacy/intfreedom/statementspols/freedomreadstatement>.
- ³ International Council on Archives, "Universal Declaration on Archives," November 10, 2011, <http://www.ica.org/13343/universal-declaration-on-archives/universal-declaration-on-archives.html>.
- ⁴ Richard E. Rubin, *Foundations of Library and Information Science*, 3rd ed. (New York: Neal-Schuman Publishers, 2010), 419.
- ⁵ Danielson, *Ethical Archivist*, 6.
- ⁶ Toni Carbo and Stephen Almagno, "Information Ethics: The Duty, Privilege and Challenge of Educating Information Professionals," *Library Trends* 49, no. 3 (Winter 2001): 512.
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- ¹⁰ Richard O. Mason, Florence M. Mason, and Mary J. Culnan, *Ethics of Information Management* (Thousand Oaks, CA: Sage Publications, 1995), 112.
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- ¹⁵ Eliot Freidson, *Professional Powers: A Study of the Institutionalization of Formal Knowledge* (Chicago: University of Chicago Press, 1986), 187.
- ¹⁶ Glenn Dingwall, "Trusting Archivists: The Role of Archival Ethical Codes in Establishing Public Faith," *American Archivist* 67 (Spring/Summer, 2004): 20.
- ¹⁷ International Council on Archives, "ICA Code of Ethics," September 6, 1996, <http://www.ica.org/?lid=5555>.
- ¹⁸ International Council on Archives, "Code of Ethics for Archivists," <http://www.ica.org/?lid=5555>.
- ¹⁹ Society of American Archivists, "Code of Ethics for Archivists," SAA Core Values Statement and Code of Ethics, last revised January 2012, <http://www2.archivists.org/statements/saa-core-values-statement-and-code-of-ethics>.
- ²⁰ Dingwall, "Trusting Archivists," 29.
- ²¹ Society of American Archivists, "SAA Core Values Statement and Code of Ethics."
- ²² American Library Association, "Core Values of Librarianship," June 29, 2004, <http://www.ala.org/advocacy/intfreedom/statementspols/corevalues>.
- ²³ Danielson, *Ethical Archivist*, 25.
- ²⁴ An ongoing SAA initiative, "Case Studies in Archival Ethics," is a collection of ethical case studies submitted by a variety of archivists and designed to "address one or more of the areas covered by the Code of Ethics for Archivists." The case studies are accessible at <http://www2.archivists.org/groups/committee-on-ethics-and-professional-conduct/case-studies-in-archival-ethics>.
- ²⁵ Danielson, *Ethical Archivist*, 1.

Issues in Common: Information Literacy, Digital Access, and Digital Preservation

With as many similarities as differences, archivists and librarians in academic and public library environments are increasingly cooperating around the technology-related issues that are critical to their viability as information centers. This chapter focuses on three key areas of that cooperation: information literacy, digital access, and, its corollary, digital preservation. These imperatives focus on use and users, signaling that today, providing access and information delivery may be the most valuable services and commodities that libraries and archives can provide.

Libraries have always been user-centered, and their challenge over the past several decades has been to translate this traditional role into virtual environments while adapting their physical spaces to the technology demands of their constituencies. The increasing public demands for virtual access has challenged archives—traditionally collection-centered and with use affected by access restrictions—to recalibrate their priorities and find creative ways to bring their nonrestricted, unique materials to users.

The seemingly limitless potential of virtual information environments is bringing concomitant user demands for both unique content and seamless digital access to that content. These pressures—combined with limited resources, economic shifts, and new institutional mandates—are encouraging libraries to think more strategically about the archives in their midst. For the archives, partnering with the larger library is a welcome opportunity to maximize use of archival materials and resources. The resulting partnerships can create stronger and more durable information infrastructures for users and for the institution as a whole. Both information literacy and digital access are drivers of these increasing archives-library collaborations.

INFORMATION LITERACY

Formerly known as “bibliographic instruction” or “user education,” information literacy (IL) has long been a critical activity in all types of American libraries beginning in the late nineteenth century. The *Encyclopedia of Library and Information Sciences* notes that “since the mid- to late-1800s, librarians have used many instructional formats and technologies to help people learn how to learn and become life-long learners,” and further cautions that, “in an era when new technologies and sources of information proliferate at breakneck speed, being information literate is not a luxury or a casual pastime. It is an essential survival skill for a changing world.”¹

In 1989, the American Library Association (ALA) formally defined information literacy: “To be information literate, a person must be able to recognize when information is needed and have the ability to locate, evaluate, and use effectively the needed information.”² Other attributes such as critical thinking and participatory learning were also identified as important features, the primary object always being to teach “so that users would transfer what they learned to situations, reference tools, and environments new to them—that is, they would learn how to learn.”³

For the archives, an orientation to the physical archives and to descriptive tools such as finding aids has generally been an important introductory component of the user experience. Archivists, like librarians, also see themselves as educators. The Society of American Archivists’ (SAA) “Guidelines for College and University Archives” includes a list of core functions, including the stipulation that “Academic archives should also serve as an educational laboratory where students may learn about a particular subject, the different types of available resources, and the proper procedures and techniques for using primary archival resources in their research projects.”⁴

The pervasiveness of technology and the universality of the web have transformed information literacy from instruction in the physical information environment with physical objects to instruction in the use of computers, technology tools and e-resources, virtual searching, and virtual reference. For librarians, this adjustment has been more one of the evolution and enhancement of activities that were always part of working with users than of a new area of service. For archivists, accustomed to managing a gatekeeper role, the switch has been more dramatic. This evolution necessitates adjustments to new priorities, as well as a basic rethinking and reconceptualizing of user services. As Yakel noted in 2004, “in the virtual environment, the reference archivist cannot scan the reading room and note who is lingering a bit too long over the finding aids to detect confusion or step in to improve a researcher’s search strategy as he or she explores a database.”⁵ In addition to addressing the need for virtual reference and instruction in using an archives, academic archives have also embraced teaching the use of primary sources as one of their core missions. Helping users to “think archivally” and to develop archival literacy skills has become a meaningful way for archivists to engage with users and to raise awareness of archival resources.

The term *archival intelligence* (AI) was showcased in a 2005 *American Archivist* article, which described it as “thinking archivally.” It is a useful way to consider information literacy in an archives. The article’s authors, Elizabeth Yakel and Deborah Torres, defined AI as “a researcher’s knowledge of archival principles, practices, and institutions, such as the reason underlying archival rules and procedures, the means for developing search strategies to explore research questions, and an understanding of the relationship between primary sources and their surrogates.”⁶ Archivists try to teach users in several ways: through online tutorials, through working directly with teachers and faculty members

and their classes, and through offering classes of their own. The AI model has become a basis for a number of user education programs.⁷



VIGNETTE: INFORMATION LITERACY

The librarians at Caspar College had traditionally worked closely with faculty members on information literacy programs. To teach students how to conduct research, they offered instruction on how to search, use, and evaluate the many databases available through the college library. At the beginning of the spring semester, a member of the history faculty contacted his library liaison to thank her for her recent presentation to the class. He also asked if it might be possible for her to make a second presentation—this time on primary sources. The professor wanted his students to experience finding and using the actual documents that are used to write history.

On the recommendation of the library director, the librarian approached the archivist for help. They met for lunch to talk about a possible presentation and decided to develop a simple program that would introduce students to the history of the college by using the college charter, a diary, letters, and speeches of the founder, as well as photographs of the first college building and dormitory. They jointly presented the program to the history class.

The presentation was successful. The students were highly engaged in their first introduction to original documents. Both the librarian and the archivist were gratified when the faculty member thanked them for introducing his students to primary sources so effectively. The archivist was also pleased because, as a “lone arranger,” she was limited in the number of students she could reach individually. This collaboration with the librarian not only spread the word about the value of the archives much better than she could have on her own, but it opened up new areas of partnership.

The archivist told the director of alumni affairs about the presentation, and he was also very pleased that students were learning about the mission and history of the school in their freshman year. The library director was happy because the collaboration between the librarian and the archivist reflected well on her library and benefited the administration, the faculty, the students, and her staff. She decided to have all her faculty library liaisons work with the archivist to explore the possibilities of integrating primary sources into classroom teaching.



To supplement an archivist’s face-to-face efforts to promote information literacy, the websites of large archives and libraries often provide guidance for teaching with primary sources and for using the archives in this context.⁸ Best known may be the Library of Congress’s “Teaching with Primary Sources,” program, which “collaborates with school districts, universities, libraries, and foundations to help teachers use the Library’s vast collection of digitized primary sources to enrich their classroom instruction.”⁹ A number of academic libraries host the “Teaching with Primary Sources” program on

their websites. In addition, the websites of many academic archives and special collections include guidance and tutorials on the use of their collections.

Interviews with archivists revealed a broad range of ways in which they work within the library environment on information literacy initiatives, including partnering with librarians on instruction and workshops and hosting history and other subject-related classes. These activities were held in addition to offering traditional instruction on using the archives. The interviews also revealed a wide spectrum of responses to performing these activities, ranging from enthusiasm to frustration to overwork from staffing limitations.

Archivists Talk About Information Literacy and Cooperation

A number of archivists fully embraced cooperative archives/library information literacy efforts, with one academic archivist noting:

I think we're always trying to find better ways to work with the reference staff in providing instructional sessions. I've worked directly with other reference librarians and we've team-taught some of these sessions. Sometimes the faculty member will take the class first to the reference librarian and then they'll come up to the archives. So, you know, we're always finding better ways to cover as much as we can between what's in the library and what's in the archives. . . .

— Academic Archivist

Several saw information literacy as an ideal space for overlap between the reference services offered by each unit:

Basically the place where we [the archives and the library] overlap is in some of our public programming work. Archivists and librarians [conduct] genealogy workshops and bibliographic instruction. Depending upon the circumstance, either staff members [work independently] or archivists and librarians work together [on] the presentation. Those would be the cases where the greatest overlap [occurs] between the two units.

— Academic Archivist

We'll get a freshman English class . . . and that's fine. But I'm looking to try to get more intensive use [of the archives]. Where we could integrate more would be in information literacy.

— Academic Archivist

Others saw their information literacy tasks in traditional terms:

Yes. We have classes that come in here every semester. We'll have anywhere from one to three, sometimes four . . . mostly history students, but some from anthropology, geography, and journalism. . . . [Faculty members] bring classes in to get an orientation to materials . . . how to use them, how to handle them. And then [they] also follow up on class assignments that use our materials. So we do that kind of instruction, basically orienting [students] to what we have and then assisting them, one-on-one, as they come in to work on their projects.

— Academic Archivist

While others grappled with balancing many tasks:

Of course, there's never enough time to get to everything you want to do. . . . And unfortunately it seems like processing collections takes a back burner sometimes, because we are doing a lot more programming and teaching genealogy classes. — Archivist in a Public Library

This semester [we have] nine classes, all of which are writing research papers in the archives. So it's a matter of introducing them to collections and [remaining] open during the evenings so they can come in and write their papers. Some of the classes have as many as 50–60 students. We have about 1,000 researchers a year. And we have a full-time staff of three.

— Academic Archivist

I have had some school groups come in. I don't do a lot of outreach with the schools. And that's really just a time issue, more than anything.

— Archivist, Local History Collection

The variety of responses, combined with a thriving professional literature in both archives and library journals, suggests that information literacy offers a potent and fruitful area for archives/library collaboration.¹⁰ It is one that will benefit from more cooperative communication, research, and experimentation between archivists and librarians. Digital assets, too, require digital information literacy competencies and these are skills that librarians and archivists are rapidly acquiring. Information literacy (digital and analog)—that very specialized area of expertise to which both archivists and librarians hold the keys—may emerge as an effective and uniting area of cooperation that benefits users and professionals alike.

Examples of productive new collaborations are increasing. In an experimental year-long university anthropology class, for example, the social sciences librarian and the special collections archivist/librarian created and designed user-centered workshops. They explained that “in an effort to highlight the ‘process of research,’ these library workshops were designed to expose students to a more complete picture of the library’s resources by including the use of special collections and archival materials when thinking about social science research skills.”¹¹

In another instance, an English professor and a special collections librarian collaborated to “devise a more integrated approach to instruction that set special collections materials alongside electronic resources to produce an advanced, discipline-inflected version of IL that is better suited to the needs of students in a capstone course.”¹² These two individuals demonstrated how information literacy could be integrated into literary studies to advance critical thinking about both special collections and archival materials.

In a project funded by the University of London, academic librarians and archivists teamed up to explore delivery of information literacy to distance users through social media.¹³ They found that some social media was appropriate for information literacy delivery, concluding “one thing that is clear is that libraries and their services have always changed and evolved in response to technological developments. Social software may be regarded by some as a passing fad, but the tools are proving enormously popular and potentially change the way people communicate with each other and interact with information.”¹⁴

The possibilities are endless, and developing technologies, particularly in the area of social media, offer intriguing options. As the digital assets of an institution multiply and affect all aspects of the

institution, user needs likewise overlap. Users may not care where the material is—in the library or archives—as long as they know how to find it and utilize it. And with improved information literacy on the part of archives users, access demands are simultaneously increasing.

DIGITAL ACCESS

In a relatively short space of time—less than two decades—digital access has become the *sine qua non* of information institutions. The digital information revolution has created unprecedented access but has also fueled an unprecedented demand for access. Archivists have emerged from their closed stacks and limited-access environments to digitize their collections and make them available on the web; libraries are designing collaborative portals to open a world of e-resources to their communities. At issue for the productive coexistence of archives and libraries in the same institution is an understanding of each other's digital access priorities and related preservation concerns and how those concerns can be addressed in ways that enhance a shared relationship.

Archivists Talk About Digital Access

We are very focused on providing access. That's . . . our mantra. If you have all this cool stuff, but nobody knows you have it and you can't find it, it doesn't exist. So we've done a lot of things to try to provide [digital] access to materials that we have.

— Archivist, Local History Collection

My chief worry is that we're going to digitize so much of the stuff that no one will walk in the library again. And I do worry about that. I used to think we'd never get [collections] digitized at all. But I no longer think that.

— Academic Archivist

A library's core mission focuses increasingly on providing as much access as possible to e-resources—books and journals as well as databases and data sets—purchased primarily through publishers and vendors. This will remain a key and costly transition from print to electronic in libraries for the foreseeable future. In archives, purchasing “prepared” packages of e-resources is rare. Instead, the focus is increasingly on providing better access to analog collections through the development of stronger digitization programs as well as ensuring that born-digital records and other electronic materials are collected or otherwise made accessible, too. Accessibility will require, for example, the development of specific portals or linking digital objects to finding aids or other local guides. The relatively recent explosion of digitization projects to enhance access in archives is a testament to the power that this medium provides to institutions with archival collections. Whether these digitized materials are made accessible on a library or archives website, in collaboration with external partners, or through third-party services (such as social media), the door is open more widely than ever before to archival materials that are available remotely and at all hours.

Digitized archival materials can complement or support library digitization efforts by providing further background or adding context to library projects. They can stand alone as singular projects, ranging from direct support for class assignments to the development of a website on a specific topic or research collection. Digitization projects can also support other key constituents, such as

administrative users of archival materials at college and university archives and local history collections at public libraries. For example, a university archives might make it a priority to digitize the annual reports of a president that are usually heavily used by administrators to gather statistics, answer policy questions, or provide needed historical context on a current issue. Archivists may be asked to work closely with communications officers by “tweeting” about important events in an institution’s or a town’s history, often accompanied by a link to a digitized image from an archival collection. There are endless opportunities for archives to support not only the main library mission but also to address the even broader mission of the institution or organization. A partnership of libraries and archives here strengthens the roles of both.



VIGNETTE: DIGITAL ACCESS— A COLLABORATIVE ENDEAVOR

The Maritime College Library was thrilled when a donor agreed to provide the funding to digitize its large, out-of-copyright collection of books about the military, medical, and social history of the *USS Constitution*. This collection was selected for digitization to complement a new e-resource of journals and books on the subject. In addition, the funding included the creation of a new website to provide a pathway to these collections.

The books had repeatedly been requested by faculty members as a high priority for digitization because they were in constant demand by students for a core course in maritime history. When the college archivist learned of the project, he approached the library director and the web team and suggested digitizing related primary courses from the college archives to enrich the site with Maritime College context. He knew, from recent student research inquiries, that this would be of interest to students in a number of courses. Several early Maritime College graduates had served as officers and as a physician on the *USS Constitution* during the War of 1812, and their diaries during this period were in the alumni collections of the college archives. The archivist also thought that students currently working on research papers might be able to provide some annotations to the diaries from their own work, if this ability could also be a feature of the website. After the library director spoke with the faculty, who were delighted at the possibilities for enhancing their teaching with these primary sources, she asked the web team to determine the extra costs for digitization and also possibly add the ability for crowd-sourced annotation of the diaries via Twitter.

The first “tweet” on the digitization project came from a student who noticed that one of the incidents at sea described in a book on the role of the *USS Constitution* during the War of 1812 was also written about briefly by an early Maritime College graduate in a few places in one of the diaries. After the tweet circulated, the Maritime City Public Library contacted the library director with the news that they had complementary diaries and journals. They indicated they would be able to digitize these materials and asked if the Maritime College Library would be interested in providing links to the public library diaries on the college website.



The uniqueness of the materials that constitute an archives may complement and augment the research capacity of the academic library but nonetheless present ethical caveats. As discussed in Chapter 7, access to archival collections may be governed by donor agreements, by state or federal legislation, by copyright concerns, or by third-party privacy—all of which impact digitization decisions. An archives could digitize a collection for preservation, for full or limited access, or for all these reasons depending on the nature and the restrictions of the collection. And this is a dilemma that is not well understood.

For example, an administrative office may ask an institutional archives to digitize a group of records that they alone may use but for which there will be limited public access for a number of years because of local restrictions on access. An archives may choose to digitize a heavily used medical photograph collection to prevent unnecessary handling, thus using digitization as a form of preservation. An archives might also choose not to digitize portions of that same photograph collection if there are concerns about the ethics of broadly sharing images in sections of the collection. For example, individuals may not be aware that their likeness is being distributed (much less that permission to distribute it has been given), but they could be identifiable in unanticipated ways. An archivist-librarian working in a special collection library notes the potential conflicts between professional perspectives: “to many, even professional ‘digital librarians,’ everything that is digital is online and everything that is online is freely available to all, without regard to ethical considerations. Otherwise, they ask, why would you digitize it?”¹⁵

The ever-widening range of access possibilities suggests that archivists have a vested interest, however, in digitizing significant portions of their collections. Beginning in the 1990s when the formation of Encoded Archival Description (EAD) opened the potential for integrated online searching of finding aids, archivists began to establish an online presence, eager to bring information about their finding aids to a wide audience of users. Finding aids and web exhibits, however, were only the tip of the digital iceberg. Inevitably users demanded the documents themselves. Again, archivists have been eager to comply, not only by digitizing collections but by creatively utilizing social media to display and disseminate an extensive variety of materials. As with analog materials, archivists struggle to reconcile the needs of users with the restrictions of collections, attempting always to support wider use, especially to their immediate communities, whenever possible.

Besides legal and ethical issues, technology itself affects the materials being digitized; the added value offered by the digital environment may significantly affect other parameters. As Jeannette A. Bastian and Ross Harvey write, “While, on the one hand, technology offers a set of tools and competencies that facilitate the institutions’ abilities to display materials and the users’ options to access them, it also brings new dimensions to the interpretation of the materials themselves.”¹⁶ For example, an institution’s choice of a content management system becomes a major decision in determining presentation and access because different systems tend to display and interpret the same information in different ways.

Ethical determinations, technology purchases, and resource allocation are all part of broad institutional and administrative decisions that will set expectations and affect the access delivery for the entire organization. These are decisions that well-informed library directors, librarians, and archivists need to make together, and all need to be part of the policy-setting and decision-making process in the area of digital access. The role of institutional repositories both for library and archival materials is one area that seems ripe for cooperation.¹⁷

As one academic archivist explained, the archives is part of any decision about digitization in his institution, and this works to the benefit of the entire research component of the library:

[We] do participate in digital initiatives that foster that goal of bringing our materials to research publics. I tend to think of this as participating in setting of digital policy for the library and the university, including things like digital preservation and metadata production, data management, [etc.].

— Academic Archivist

DIGITAL PRESERVATION

Digitized and born-digital archival materials require libraries and archives to plan for a whole array of new and continuously changing technology and policy-related decisions about both hardware and software and inevitably about reformatting and digital preservation. Unique materials have physical and intellectual requirements of their own, and these are inherent in caring for their long-term preservation needs. And it is for this reason that preservation has been central to the core mission of archives and special collections to a far greater extent than it has been for libraries overall.

In the age of expected digital access to archives, preservation has moved center stage, not only because many digitized materials and products of these materials need to be collected and saved over time, but also because born-digital records and digitized information can only be retained through long-term digital preservation strategies. In libraries there is some level of expectation that publishers, partnerships, or affiliated organizations—such as the HathiTrust Digital Library or JSTOR—have the incentives or can take the lead in maintaining both digitized and born-digital materials for the larger library community. Some archives will participate in digitization partnerships with publishers or other organizations that may take responsibility for the maintenance of the long-term digital files. But it is just as common for archives to have a need for either small- or large-scale local digitization projects. These eventually will require developing a relationship with a trusted digital repository, whether maintained by the institution, another entity, or by a service agreement.¹⁸ Digitized archival materials should provide valuable citations and reliable surrogates for original materials. Born-digital records need to remain authentic and accessible as well. Therefore, addressing core archival issues, such as access, rights, security, risk, URI and file naming, and metadata standards, and using a trusted repository to maintain the materials, is not just an option but a long-term preservation necessity.¹⁹

The need for standards and access to a trusted digital repository is required for most twenty-first-century archives to move from collecting analog materials (such as handwritten diaries or journals, correspondence files, photographs, or published annual reports) to collecting and/or providing access to information in born-digital materials (such as floppy disks, zip files, compact discs, Excel spreadsheets, and files in e-mail accounts). To harvest websites and collect other electronic records in archives involves library directors taking a hard look at the shift from the needs of “the archives” as a physical location with physical collections to the needs of “the archives” as it collects and provides access to born-digital records. Especially because both libraries and archives share preservation needs, library directors should consider the requirements of the archives as part of overall digital planning and infrastructure for libraries. The need to maintain both a secure and trusted environment for physical collections is equally true for born-digital archives if that archives is to remain a reliable

source of authentic materials. In the ever-changing digital environment, a commitment to reformatting or migration to new formats and systems is now an ongoing responsibility for any archives with a mission to collect and make accessible records created today.



VIGNETTE: BORN-DIGITAL PRESERVATION

The library director at Northwest College asked the college archivist to accompany her on a visit to the home of a retired professor from the art history department who was eager to donate his world-renowned collection of books on Italian Renaissance art to the college library. The collection included hard-to-find and expensive classic works that were unlikely to be available in digital form for some time, if ever. The library director was thrilled at the prospect of acquiring this gift, because courses in this area were a reason that many students attended the college, and the library always struggled to secure sufficient funding for all the purchases requested by art history faculty and students. Many of these works would fill significant gaps in the library collection. The professor also wanted to discuss the possibility of donating his personal papers to the college archives.

While the library director reviewed the books, the college archivist received the professor's permission to examine his personal archives. She found much that she expected—several file drawers of voluminous correspondence, teaching materials, research files, and some records that were department files taken home while the professor had served for a few years as interim department chair. She also discovered a small box containing floppy disks and zip drives. During a brief conversation with the professor, the college archivist learned that he had copied some of his old e-mail correspondence onto disks and drives when he was transferred to a new e-mail account upon retirement. This e-mail included correspondence with well-known colleagues around the world, as well as with former students requesting references for jobs and graduate school. The archivist also learned that the professor continued to maintain an active correspondence with colleagues on several important research projects.

Driving back to the college, the library director and the college archivist discussed the visit, and the college archivist gave her assessment of the professor's papers. Both agreed that they would be an important collection to acquire because the papers had significant research value for scholars and students studying art history and the history of the discipline itself. It would also be a way to return to the college some key records of the department from the period that the professor served as department chair.

Their major concern was the question of the digital materials. Although the archives maintained a website with digitized materials from its collection, up to now it had focused on paper collections. This would be the first "hybrid" collection the archives would acquire, a collection of both analog and born-digital materials. Both the library director and the college archivist recognized that there were key considerations to address before moving ahead with this aspect of the professor's archives. They knew they finally needed to bite the born-digital bullet and systematically plan a program and a process that included several important steps: opening and then assessing the files that were likely stored in a variety of electronic formats; developing metadata standards for describing and retrieving the data;

determining how to manage access to materials, some of which might not be accessible to the public for a number of years; and securing trusted digital storage that could accommodate both personal materials and college records. They realized that it would be critical to initiate this project in partnership with the college library's Systems unit and the college's IT department as both would need to be part of a solution to this challenge moving forward.



Digital preservation and digital access go hand-in-hand. Defined by the Digital Preservation Coalition as “the series of managed activities necessary to ensure continued access to digital materials for as long as necessary,”²⁰ the process of digital preservation refers to all of the actions and strategies required to maintain access to digital materials, including policies, planning, resource allocation, reformatting, and all the strategies and actions involved. Digital preservation involves a commitment by the entire institution to recognize that access and preservation are codependent.²¹ Again, this is an area where the library director, the library staff, and the archivist must all be part of the planning and policy making.

Library directors who were interviewed focused on the difficult decisions involving the opportunities and the obligations created by digital access and preservation and the limited resources available to meet them:

Library Directors Talk About Digital Preservation

Question: What do you see as some of the issues around digitizing archival collections?

We're going to have to rely on our own resources to digitize the historic materials that are unique to us. So in one sense we acquire content, in another we're doing the transformation of the content ourselves. And how we do that and the decisions we make around that are really going to be critical.

I think decision-making now—to try to look forward as much as possible to create the data in a way that it can migrate—is really important. Not just to get the cheapest vendor or quick and dirty digitizing, [but] really to try to look and [ask] how are we going to position this data so that it can move forward in whatever format the world is going to go to in the next fifty, hundred years?

— Public Library Director

You always see a dollar sign. . . . And so there's a tension, I would say, between where you put resources, where the priorities [are], but there's also this real symbiotic relationship with our interest in partnership, especially around the area of digitization and curated collections . . . where archives and special collections are seen as the gold mine . . . That, I think, [is] the growth area for the relationship between the university's library and archives and special collections.

— Academic Library Director

ADDRESSING COMMON ISSUES

An Archivist Talks about Similarities

We [address] different types of functions, but . . . we do a lot of very similar things, [too]. We do reference work, we do instruction. We help people find information. [We perform] an awful lot of the same functions [as librarians] and yet we seem to think of ourselves very differently.

— Academic Archivist

Information literacy, digital access, and digital preservation—all of these issues revolve around access and use—are critical to the successful futures of both libraries and archives, and are shared in common between archives and libraries. Regardless, archivists and librarians still tend to focus on their differences. Developing strategies around these three issues will require that librarians and archivists begin to think about how they can confront and solve their similar problems together.

NOTES

- ¹ Esther S. Grassian and Joan R. Kaplowitz, "Information Literacy Instruction," *Encyclopedia of Library and Information Sciences*, 3rd ed., ed. Marcia J. Bates and Mary Niles Maack (New York: Taylor and Francis, 2009).
- ² American Library Association, "Presidential Committee on Information Literacy: Final Report," 1989, <http://www.ala.org/acrl/publications/whitepapers/presidential>.
- ³ Ibid.
- ⁴ Society of American Archivists, "Core Archival Functions," August 1999, <http://www2.archivists.org/node/14804>.
- ⁵ Elizabeth Yakel, "Information Literacy for Primary Sources: Creating a New Paradigm for Archival Researcher Education," *OCLC Systems and Services, International Digital Library Perspectives* 20, no. 2 (2004): 64.
- ⁶ Elizabeth Yakel and Deborah Torres, "AI: Archival Intelligence and User Expertise," *American Archivist* 66 (Spring/Summer 2005): 51.
- ⁷ Examples include Cory L. Nimer and J. Gordon Daines III, *The Interactive Archivist: Case Studies in Utilizing Web 2.0 to Improve the Archival Experience* (Chicago: Society of American Archivists, 2009), <http://interactivearchivist.archivists.org/>; and Peter Carini, "Archivists as Educators: Integrating Primary Sources into the Curriculum," *Journal of Archival Organization* 7 (January–June 2009): 41–50.
- ⁸ For example, the Smithsonian Institution offers "Teaching with Primary Sources" on its Smithsonian Source website, <http://www.smithsoniansource.org/tea/viewdetails.aspx>.
- ⁹ Library of Congress, "About the Program," Teaching with Primary Sources Program, <http://www.loc.gov/teachers/tps/about/>.
- ¹⁰ See, for example, Kim Baker, *Information Literacy and Cultural Heritage: Developing a Model for Lifelong Learning* (Oxford: Chandos Publishing, 2013); Craig Fansler and Audra Eagle Yun, "Inside the Box: Incorporating Archival Material into Undergraduate Information Literacy Instruction," *Journal for the Society of North Carolina Archivists* 9 (Summer 2011): 15–24; and Jacquie Widdowson and Darren Smart, "Information Literacy in Public Libraries," *Journal of Information Literacy* 7 (December 2013): 160–162.
- ¹¹ Regina Lee Roberts and Mattie Taormina, "Collaborative Co-Design for Library Workshops," *Behavioral & Social Sciences Librarian* 32, no. 1 (2013): 46–56.
- ¹² David Mazella and Julie Grob, "Collaborations Between Faculty and Special Collections Librarians in Inquiry-Driven Classes," *Libraries and the Academy* 11, no. 1 (January 2011): 468.
- ¹³ Jane Secker and Gwyneth Price, "Libraries, Social Software and Distance Learners: Blog It, Tag It, Share It!" *New Review of Information Networking* 13, no. 1 (2007): 39–52.
- ¹⁴ Ibid., 52.
- ¹⁵ Aaron Bittel, "Hybridity Is the Future: Negotiating Life as an Archive-Library," *IASA Journal* 34 (December 2009): 42. See also "Module 8: Managing Rights and Permissions" by Aprille C. McKay in *Rights in the Digital Era*, edited by Menzi L. Behrnd-Klodt and Christopher J. Prom (Chicago: Society of American Archivists, 2015).
- ¹⁶ Jeannette A. Bastian and Ross Harvey, "Out of the Classroom and into the Laboratory: Teaching Digital Curation Virtually and Experientially," *IFLA Journal* 38 (2012): 29.
- ¹⁷ For an introduction to institutional repositories, see Clifford A. Lynch, "Institutional Repositories: Essential Infrastructure for Scholarship in the Digital Age," *Libraries and the Academy* 3 (April 2003): 327–336; and Anne Sauer, "Why Archivists Should Be Leaders in Scholarly Communication," *Journal of Archival Organization* 7 (January–June 2009): 51–57. For an example of a cooperative digital repository, see the University of Minnesota Libraries' Digital Conservancy site at <http://conservancy.umn.edu>.
- ¹⁸ See *Module 8: Becoming a Trusted Digital Repository* by Steve Marks with an introduction by Bruce Ambacher and edited by Michael Shallcross (Chicago: Society of American Archivists, 2015).
- ¹⁹ For information on how to establish elements of a program, see, for example, J. Gordon Daines III, *Module 2: Processing Digital Records and Manuscripts* (Chicago: Society of American Archivists, 2013), part of the Trends in Archives Practice series.
- ²⁰ Digital Preservation Coalition, "Introduction: Definition and Concepts," *Digital Preservation Handbook*, 2012, <http://www.dpconline.org/advice/preservationhandbook/introduction/definitions-and-concepts>.
- ²¹ Current literature on digital preservation, including standards and best practices, support the idea that this is an activity that must be supported across the information institution.

Convergences and Divergences

A Library Director Talks About Collaboration

You know, I do think that with the archives and the college library together . . . you're in a stronger position in terms of being able to attract resources that, in many instances, may be meeting the needs of both units. So if the question was "Are we providing all the needs of the archives?" the answer is probably, no, not yet. It's the same for the library. But working together and having a broader base of donors to go to, having a broader scope for the operations of the combined library and archives, you have a much better chance of acquiring those resources in reasonable time frames.

— Academic Library Director

In the preface to his 1976 book, *Archive-Library Relations*, Robert Clark stated, "this is the first comprehensive book dealing with the joint concerns and relationships of the two professions."¹ Some of the common issues he identified were copyright, access and confidentiality, and social responsibility. Some of the joint concerns included public relations and fundraising, collection building, standards, technology, and preservation. Despite the inherent tensions when two distinct functions (libraries and archives) are located in the same institution, Clark counsels, "with these concerns come common problems, better solved by communication and cooperation than by duplicated efforts."²

Exactly a decade later, Lawrence McCrank offered similar advice in *Archives and Library Administration: Divergent Traditions and Common Concerns*. Here, however, cooperation was seen more in the context of a future convergence and of "working together, a partnership and acknowledgment of overriding common goals as information providers."³ Common issues and concerns

in this volume included administration, collection management, preservation, technology, and education.

McCrank acknowledged the link with *Archive-Library Relations* and, musing on the apparent parallel course that libraries and archives were maintaining, speculated on whether this would hold true in the future or if libraries and archives would converge. He suggested that it would be interesting “to assess the relative position of archives and libraries to each other and how much professional identification still coalesces around these two divisions.”⁴

Today, almost thirty years later, the parallel path has not held completely steady, but neither has convergence won the day, although there are signs pointing in that direction. What has become clear is that in the “information age,” access and user services have become the compelling drivers for both libraries and archives. As more information is shared and digitized, the potential for convergence increases.

The convergence of cultural heritage institutions such as libraries, archives, and museums (LAMs) has long been a much-debated goal in the information world, particularly over the past two decades. *Convergence* generally refers to the close collaboration or even merging of cultural heritage entities. Terms like “single point of access” and “federated searching” feed into these aspirations, as does the vision of a digital information environment that connects and blends a broad range of information entities that coalesce around particular topics regardless of format or type. Fueled by user demands for seamless access to collections and, as Jeannette A. Bastian and Ross Harvey write, “the potential for users to add value to what they have access to through enhancements and combinations,” convergence holds the promise of creating a coherent and broader information society.⁵ “The driver for convergence is the use of technology for the representation, documentation, archiving, preservation, and communication of cultural heritage knowledge. The outcome is the creation of new relationships and new knowledge by bringing digital data sets representing social and cultural activity together in novel ways.”⁶

Numerous studies and conferences and an abundant body of literature over the past decade testify not only to the desire of many information professionals to move in this direction but also to the fact that technology is making this goal a reality. While convergence of the LAMs is still a work in progress, there are indications that at least in large institutions this may be a realistic and realizable goal. Galvanized by a range of factors, including service, resources, and scholarship, but mostly by the opportunities presented by technology, archives and libraries are working toward some measure of collaboration and coexistence, if not complete convergence. Not surprisingly, it is the large institutions, government and nonprofits, that are leading the way. The Library of Congress, Library and Archives Canada, the Online Archive of California, and joint library-archives digital collections such as those of the Harvard Library are but a few examples.⁷

At the same time, convergence comes in many combinations and can occur at many different institutional levels. While the LAM may be the most highly prized goal, convergence can occur solely between libraries and archives as well. A recent study by researchers at the University of Toronto iSchool examined the different types of convergence and collaboration experiences of five large institutions (two in Canada and three in New Zealand). They found that the motivations for convergence included “to serve users better; to support scholarly activity; to take advantage of technological developments; to take into account the need for budgetary and administrative efficiencies; to adapt to an evolving understanding of digital surrogates as objects; and, to obtain a holistic view of collections.”⁸

They also found that one of the greatest challenges to convergence was concern with professional identity. The study concluded that “it is a question of adaptation, as historically distinct professional identities and cultures learn the languages, practices, and expertise of their colleagues. These challenges notwithstanding, important benefits were cited in terms of improvements to public use and staff learning, while ultimately leading toward a more sustainable institutional culture.”⁹

On a smaller scale and dealing only with archives in libraries, how does the vision of convergence advance cooperation and sharing? Digitization and digital access suggest approaches to cooperation that maximize the offerings of both the library and its archives. This was the overwhelming view taken by the majority of the library directors we interviewed, who felt that while the unique historical materials in the archives and special collections benefited the profile of the institution as a whole, the greater resources of the library could assist in bringing these materials to the public.

Library Directors Talk About the Benefits of an Archives in a Library

I mentioned that I think the arrangement is good on both sides and if you think of various ways in which there can be close cooperative efforts—it can be on the development side, fundraising side . . . it can be in the acquisition of archival materials. . . . Libraries tend to have more . . . just larger budgets, larger staff, larger financial resources. So libraries are in a position to—if you take digital projects as one example—to be flexible and have resources to apply to projects or issues in ways that I think are very beneficial to the college archives. But if you flip it around to the other side, you know, I think at least from my experience, the presence of the college archives opens up new avenues for things that would not be quite so easy for the library.

— Academic Library Director

The library benefits enormously when the resources of the archive are a part of what we are both providing and conveying to our community. If we get a gift of something that falls in an archival area, and it's a really interesting sort of thing, it adds to the . . . kind of immediacy and pizzazz, if you will, of the library. People begin to see, in a different respect, the importance of the library and I think, conversely . . . when the archives is incorporated in the library, the archives begins to reach a constituency that it wouldn't reach if it were separate and not incorporated into the library in terms of either public programs or publicity. . . .

— Academic Library Director

The concept of convergence produced other reactions as well, harking back to the idea of parallel professions rather than converging ones. One library director, while supporting convergence from the point of view of use and access, also expressed concern that convergence would dilute individual areas of expertise and skills. Rather than the convergence of institutions, he suggested the convergence of skills, or distinct professional competencies within individual archivists or librarians:

A Library Directors Talks About Cooperation and Competencies

I think [of] convergence from the point of view of dealing with “the stuff,” . . . more and more people will be dealing with the same stuff. But the expertise for dealing with how to store and maintain and digitize original materials is going to stand with the people who have the original materials. So I think there’s increasing overlap.

But, certainly in terms of the expertise of the individuals, there is a convergence of interest, there is a convergence of demand. From the point of view of the user, they actually don’t care [whether they are dealing with a library or an archives], and that’s actually where I think we have some idea of convergence . . . and that is the person who helps you find the material, the person who helps you analyze the material, the person who helps you write about the material, the person who helps you put the technology together so you can create the charts and graphs you’re going to use to describe the material. The students really don’t see a big difference—they see . . . a continuum of information, or of resources, or of expertise, and we think of them as a set of unique things, and to the extent that we can make them look like they are a continuum, we can move students in particular.

But I also see this with faculty members who may be bewildered with a technology that’s just around the corner . . . [if] we [can] find a way [to] make it appear as if it’s smooth—knowing perfectly well that it’s not—then we’ll benefit from that.

— Academic Library Director

The importance of individual expertise also speaks to the concerns about professional identity raised in the University of Toronto report. One of the professionals interviewed for that research, who is himself leading a major convergence effort, writes that “it’s not about worrying about what one knows or what everybody else knows, it’s really about bringing knowledge sets together; not to mash them together, but in fact to align them toward a common practical application and then a broader mission.”¹⁰

Similarly, an archivist notes that “this is not necessarily to say that professional theories and their resultant methodologies for each discipline should be neglected when enabling digital access to collections. Rather, the digital realm can act as a meeting point where digital collections from all three types of cultural heritage institutions can intersect and coexist.”¹¹

AN ARCHIVIST/LIBRARIAN

Several years ago, writing in *Archival Outlook*, the bi-monthly newsletter of the Society of American Archivists, an archivist working as a special collections librarian in an academic library raised the possibility of a library-archivist symbiosis where “both the archivist and the librarian are positioned to share their expertise for the common good of the patrons.”¹² The concept of a “dual archivist/librarian” or a “hybrid archivist/librarian” is an idea that seems to be gaining adherents, at least in the professional literature.¹³ Many archivists who work in libraries, particularly those in special collections, might claim that they have always worked in this dual role in their institutions. Shared responsibilities between the archives and the library were particularly true for many of the archivists we interviewed who worked in public libraries.

Nonetheless, whether this is an old practice with a new name or a new shared role for information professionals, it introduces a different type of convergence, one of individual competencies and expertise. Research, however, suggests that this may be a difficult role to sustain and that institutions may not yet be positioned to take full advantage of the positive aspects of shared roles. Chapter 3 made reference to a survey of three hundred archivists who worked in academic archives in the United States. More than half of the archivists had library responsibilities as well. The study focused on “the benefits and challenges cited by those archivists whose nonarchival responsibilities include library duties.”¹⁴ It found that, despite difficulties in performing both roles, the requirement to do both did benefit the academic institution by “breaking down barriers with faculty and students and among information professionals and by educating the wider campus community about the benefits of archival programs.”¹⁵

In the concluding essay of *Archives and Library Administration*, Robert Warner, former Archivist of the United States and former dean of the School of Information at the University of Michigan, writes:

There will always be specific problems unique to librarians and unique to archivists which cannot be shared and which will require special knowledge and skills. Increasingly, however, those entering the professional world of librarianship, archives and record management will be generalists in the world of information. They will not be technocrats or systems engineers, but will still be humanists committed to humanistic values.¹⁶

This unifying vision of the core societal values of information professionals rings as true today as it did in 1986. In fact, with the ever-increasing emphasis on technology and technological competencies, it may be even more important today to continually remind ourselves—archivists and librarians—of our shared commitments and of the values and passions that unite us.

NOTES

- ¹ Robert L. Clark Jr., ed., *Archive-Library Relations* (New York: R. R. Bowker, 1976), xi.
- ² Ibid., x.
- ³ Lawrence J. McCrank, ed., *Archives and Library Administration: Divergent Traditions and Common Concerns* (New York: Haworth Press, 1986), 12.
- ⁴ Ibid., 14.
- ⁵ Jeannette A. Bastian and Ross Harvey, "Experiments in Cultural Heritage Informatics: Convergence and Divergence," in *Annual Review of Cultural Heritage Informatics, 2012–2013*, ed. Samantha Hastings (London: Facet Books, 2014), 29–42.
- ⁶ Ibid.
- ⁷ The Library of Congress hosts a number of digital convergence initiatives online at <http://www.digitalpreservation.gov/>. Libraries and Archives Canada merged its national archives and national library in 2004, and, through digital initiatives, they provide access across their collections at <http://www.bac-lac.gc.ca/eng/Pages/home.aspx>. The Online Archive of California website, <http://www.oac.cdlib.org/>, serves as a portal for library and archives collections across California. The Harvard University Library offers access to selected digital collections from across Harvard's libraries and archives at <http://lib.harvard.edu/digital-collections>.
- ⁸ Wendy Duff et al., "From Coexistence to Convergence: Studying Partnerships and Collaboration Among Libraries, Archives and Museums," *Information Research* 18, no. 3 (September 2013), http://www.informationr.net/ir/18-3/paper585.html#Usg_WBg1bw4.
- ⁹ Ibid.
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- ¹¹ Katherine Timms, "New Partnerships for Old Sibling Rivals: The Development of Integrated Access Systems for the Holdings of Archives, Libraries, and Museums," *Archivaria* 68 (Fall 2009): 68.
- ¹² Jennifer Neumyer, "Librarian or Archivist? My Special Collections Symbiosis," *Archival Outlook* 8 (November/December 2009): 22.
- ¹³ Mary Manning and Judy Silva, "Dual Archivist/Librarians: Balancing the Benefits and Challenges of Diverse Responsibilities," *College and Research Libraries* 73 (March 2012): 164–181; Aaron Bittel, "Hybridity Is the Future: Negotiating Life as an Archive-Library," *LASA Journal* 34 (December 2009): 41–44.
- ¹⁴ Manning and Silva, "Dual Archivist/Librarians," 165.
- ¹⁵ Ibid., 175.
- ¹⁶ Robert M. Warner, "Librarians and Archivists: Organizational Agenda for the Future," in *Archives and Library Administration: Divergent Traditions and Common Concerns*, ed. Lawrence J. McCrank (New York: Haworth Press, 1986), 175.

Appendix: Archival Standards

The following information appears on the Society of American Archivists' Standards Portal web page. For a complete list of and links to archival standards, see <http://www2.archivists.org/standards>.

Archival and Special Collections Facilities: Guidelines for Archivists, Librarians, Architects, and Engineers

Provides guidance on site evaluation, construction, environmental systems, fire protection, security, lighting, materials and finishes, equipment, and the functional spaces for an archival facility that meets the needs of staff and researchers and ensures the preservation of the collections.

Guidelines for College and University Archives

Discusses the definition of college and university archives, as well as the administrative relationships, records management, core archival functions, facilities and equipment, and supporting services involved.

Guidelines for Evaluation of Archival Institutions

Provides an objective and consistent framework against which archives can measure their development, recognizing the diversity of both archival institutions and archival media.

Museum Archives Guidelines

Assists all types of museums—both independent museums and those contained within larger institutions—in the development and administration of archives programs. The document outlines the components of a successful museum archives program.

APPRAISAL

Guidelines for Reappraisal and Deaccessioning

Establishes a step-by-step approach to reappraisal and deaccessioning in archival repositories and outlines general steps, problems, and solutions yielding responsible and ethical reappraisal and deaccessioning decisions.

ARRANGEMENT AND DESCRIPTION

Describing Archives: A Content Standard, Second Edition (DACS)

An output-neutral set of rules for describing archives, personal papers, and manuscript collections that can be applied to all material types, DACS represents the U.S. implementation of international standards (i.e., ISAD[G] and ISAAR[CPF]) for the description of archival materials and their creators.

Encoded Archival Context—Corporate Bodies, Persons and Families (EAC-CPF)

Maintained by SAA in partnership with the Berlin State Library, the EAC-CPF Schema is a standard for encoding contextual information about persons, corporate bodies, and families related to archival materials using Extensible Markup Language (XML).

Encoded Archival Description (EAD)

Encoded Archival Description is a nonproprietary standard for the encoding of finding aids for use in a networked (online) environment.

DIGITIZATION AND PRESERVATION

Includes a list of technical standards used by archivists. Examples include ANSI, Dublin Core Metadata Element Set (DCMES), XML, METS, MODS, MPEG-7, and PREMIS. The following two standards in this area have been endorsed by the Society of American Archivists:

ISO 16363:2012—Space Data and Information Transfer Systems—Audit and Certification of Trustworthy Digital Repositories

Defines a recommended practice for assessing the trustworthiness of digital repositories. It is applicable to the entire range of digital repositories and is available for purchase from the International Standards Organization.

Well-intentioned Practice for Putting Digitized Collections of Unpublished Materials Online

Prepared by OCLC Research, the guide offers an assertive framework for digitizing and providing access to unpublished archival materials, whose rights holders are often difficult to identify and contact.

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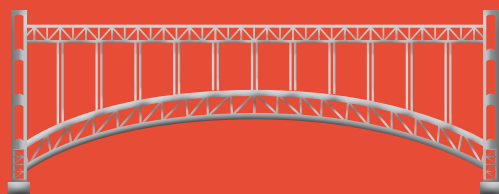
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Archives *in Libraries*

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Many libraries have archives, which serve a distinct function, albeit in a shared setting. Reconciling differences between archivists and librarians has been a long-standing issue for the information professions in the United States. Today more than ever, librarians and archivists need to understand one another and harmonize their divergent but complementary professional paths. *Archives in Libraries: What Librarians and Archivists Need to Know to Work Together* builds a bridge toward that harmonization, suggesting ways in which archivists working in libraries can better negotiate their relationships with the institution and with their library colleagues. It also helps librarians and library directors better understand archival work by providing overviews of archival concepts, policies, and best practices. Vignettes and interviews throughout the book articulate similarities and points of departure between libraries and archives while highlighting the issues and offering solutions to practical problems.



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